

THE SOCIAL CAPITAL FUNDRAISING MODEL

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PREFACE

In 2016, I published a book with a colleague entitled *Successful Fundraising for the Academic Library* that repositioned the cases for giving to the academic library to better align with traditional higher education cases (Dilworth & Henzl). Examples included student awards for donors who prioritize student support, faculty and collection naming opportunities similar to named chairs in academic departments and named spaces. Once that project was complete and I continued my dual roles as a graduate student and fundraiser in an academic library, I began to wonder why my previous publication had been necessary. I started to think more deeply about the models for fundraising in higher education that seemed designed to challenge the fundraising success of non-degree-granting units. However, this initial question eventually became a question about the value and efficacy of current fundraising models overall.

For the academic library, current models common in higher education fundraising are a serious challenge to successful fundraising. The challenges come down to two factors. The first is that the model aligns alumni with their college of graduation. The second is that donors have become accustomed to cases for giving that align with academic units like the college and department from which potential donors took their degrees. Fundraisers in the academic library and other non-degree-granting units, as a result, are very familiar with the phrase, “lack of a natural constituency” because this is the reason given for why they raise less than the degree-granting units.

Personally, I experienced this phrase with an eye roll at times, shrugged shoulders, and the explanation that despite this condition I was still expected to meet a fundraising goal. Thankfully, my background as a nonprofit fundraiser had me

accustomed to taking an open-minded approach to donor identification. Nonprofits do not have alumni lists. I could see many compelling access points to the library for a wide variety of donor interests. As I pursued activities to engage alumni and other potential donors to support the academic library, I noticed that I was doing my work a little differently from colleagues in the colleges. As I got to know fundraisers working in other academic libraries, a pattern of activity and strategies began to emerge.

Recent research in higher education fundraising reveals that fundraising for academic libraries has declined over the last ten years after lagging other giving opportunities in higher education over the last thirty years (Shaker & Borden 2020). These findings suggest an even greater need to reconsider the fundraising models utilized by fundraisers in academic libraries. This study takes a comprehensive look at fundraising practice and models in the academic library, beginning with the first paper which seeks to identify current fundraising conditions in academic libraries. The information collected in that study is a foundation for a discussion about a new fundraising model. This second paper will be a chapter in an upcoming book entitled *The Future of Academic Libraries*. In this new model, social capital, a concept that has been shown to ground donor behavior, is leveraged to solve the challenge of limited opportunity and resources for fundraising. Finally, the Social Capital Fundraising Model is put before professionals currently engaged with fundraising in academic libraries in a series of interviews. Fundraisers, academic library deans/directors and leaders in university development units react and respond to unique challenges to fundraising success in the academic library, and this new approach to fundraising based on the mutual benefits of social capital.

Kathryn Frances Dilworth

THE SOCIAL CAPITAL FUNDRAISING MODEL

In current higher education fundraising models where alumni are aligned with their degree-granting unit, the academic library struggles to match the fundraising outcomes of its campus peers. A survey of seventy-nine fundraisers in academic libraries collected data on fundraising activity. It reveals common practices amongst fundraisers working in this environment and ongoing challenges to success. In a second study, a fundraising model based on social capital is proposed as an alternative to the traditional alumni model. The final study evaluates interviews with thirty-two individuals that further explores the challenges to fundraising success and the efficacy of social capital building as a method to overcome systemic challenges. Interviewees include academic library fundraisers, library deans/directors and university development leaders. Findings reveal a strong interest in a social capital-based approach to fundraising but reveal the necessity to pair the new model with revised fundraiser assessment models capable of measuring these soft skills.

Dwight F. Burlingame, Ph.D., Chair

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Chapter 1 - Introduction and Literature Review

This dissertation details the facilitation and findings of three studies that build toward the development of a new fundraising model based on social capital.

A study of the current condition faced by fundraisers in academic libraries begins by revisiting Dr. Erla P. Heyns' doctoral dissertation (1994) about the conditions of fundraising in academic libraries. This, and two additional dissertations from that time, was the last time a widespread survey was distributed to fundraisers in academic libraries. The study identifies and describes ongoing challenges to fundraising success and opportunities for further research. This paper has been accepted for publication in the library and information science journal, *The Journal of Academic Librarianship*.

The study that investigated current fundraising conditions surveyed fundraisers in academic libraries to investigate their experience in this environment. Findings include persistent challenges and increasing fundraising expectations. The second paper looks beyond current fundraising practice in higher education to discover possible solutions. The outcome is the development of a new model for fundraising based on social capital. Robust reference to social capital research across disciplines has demonstrated the role it plays in society and individual lives. Both consciously and unconsciously, individuals seek social capital to such a degree that it influences behavior, and philanthropy research has demonstrated that social capital is a strong factor in philanthropic behavior. Studies have shown that donors who experience the growth of social capital because of their giving or volunteering will not only continue to engage but do more (Brown & Ferris, 2017). Donor stewardship engagement that builds stronger bonds with donors is a fundamental principle in fundraising practice; this paper examines the science behind this practice to determine the viability of grounding all engagement strategy in this concept.

This paper has been accepted for publication in an upcoming book entitled *The Social Future of Academic Libraries: New Perspectives on Communities, Networks, and Engagement* (Slack, Bracke, & Corral, 2020), to be published by Facet Publishing, a division of Cambridge University Press.

In the third paper, the Social Capital Fundraising Model, is presented to the academic library community in a study built upon 30 interviews with academic library fundraisers, academic library deans/university librarians and leaders of university development programs. These discussions collect diverse perspectives on the challenges academic libraries face in fundraising and feedback about a new model for fundraising practice. Of particular significance in this study is the inclusion of leaders in university development programs who often lack robust knowledge of activity and cases for giving in the academic library, yet make decisions regarding the investment made in fundraising and assess the success of fundraisers working in this area. The study also reveals important gaps in understanding between the fundraisers and deans/directors.

Research Question

What are successful models for fundraising in the academic library?

Research Problem

Academic libraries lack an associated donor constituency. This has led to fundraising challenges not experienced by most other higher education academic units. A further addition to the challenge is that there is little relevant library-specific fundraising research. There is no best practice for academic library philanthropy. Studies on this topic have primarily focused on educating the library community on fundraising or determining the nature of fundraising practice in libraries. Outside of case studies, few

researchers have offered alternatives to the existing fundraising model in higher education. The existing model, based on alumni aligned with their college or department, challenges the success of fundraising in the library.

Due to its unique structure within the academic community, the library struggles to align its case for giving with higher education donors. Higher education organizes giving opportunities into student support, faculty support, programmatic support and facilities. In a previous publication, I provide guidance on how to align library services and resources with these giving options, but this practice is not the norm (Dilworth & Henzl, 2016). A recent study reveals that fundraising in the academic library has declined in the last thirty 30 years (Shaker & Borden 2020). During this same period, according to the study on current conditions for fundraisers, fundraising staff have not increased in the last 25 years (Dilworth & Heyns 2020).

Purpose Statement

The purpose of this study is three-fold:

1. Collect data from academic libraries to discern the current models and outcomes for fundraising and evaluate change over time.
2. Develop a fundraising model that better aligns with the cases for giving in the library and the unique cultivation methods required to engage donors.
3. Gather feedback from fundraisers in the academic library, academic library leaders and university development leaders to gather further details about the challenge to achieve successful fundraising in the academic library and on the viability of the new model.

Three studies are contained in this work:

- Chapter 2 is a quantitative study that uses a survey to collect and analyze data of current models and outcomes in order to establish current fundraising practice in academic libraries.
- Chapter 3 is a qualitative study that merges research on higher education fundraising, fundraising in the academic library and social capital to construct a fundraising model more likely to bring fundraising success to academic libraries.
- Chapter 4 is a qualitative study using interviews to contextualize the first two papers. Interview questions delve deeper into the fundraising challenges for academic libraries and garner feedback on the new fundraising model.

Potential Significance

This study provides data to positively impact fundraising in the academic library. Higher education receives a significant portion of total philanthropic giving in the United States, and there is strong scholarship supporting higher education philanthropy. In addition, best practices for fundraising in higher education have been developed by professional organizations over many years. Unfortunately, the academic library is not optimizing established models for a variety of reasons that will be discussed at length. The inability to fit within a well-established structure of higher education development impedes efforts to fundraise, making it seem as though there is a lack of viability when it comes to fundraising. Unfortunately, there is little research on fundraising for academic libraries to counter this perception or offer solutions to this challenge. The lack of a standard model for fundraising keeps academic libraries from enjoying the benefits of philanthropic support at the level of other academic units and deprives higher education donors of a case for giving that could be compelling and meaningful. Finally,

development officers assigned to the academic libraries are at a disadvantage without a robust literature that offers best practices and strategies for success.

Expected Challenges

Two challenges impacted the quality of the data. First, there are many organizational models of academic libraries in the United States, and without widespread dissemination and participation in the survey, the data will fall short of representing the full picture of academic libraries in the country. Second, previous attempts by scholars to collect this data on this topic have resulted in limited participation.

Glossary of Terms

Library and development industry terms used throughout:

- ALA – The American Library Association
- ALADN – Association of Library Advancement and Development Network
- ARL – Association of Research Libraries
- ACRL – Association of College and Research Libraries (Division of ALA)
- CASE - Council for Advancement and Support of Education
- Development – the field of professional fundraising and supporting roles
- DORAL – Development Officers of Research & Academic Libraries
- Donor prospecting – research conducted to determine interest and giving capacity of an individual for a particular project or mission.
- Library leadership – term used in this discussion that represents the wide range of titles for positions at the top tier of the academic library organizational chart.

Titles include but are not limited to dean, university librarian, library director, vice president of information and data.

- Library stakeholders – library users, university leadership, campus community, donors and other funders.
- Library/Libraries – a collective term used throughout the text that is similar to the use of “college” in the academic community. The term “libraries” is inclusive for individuals, resources and activity within the library. It is a personification of the institution in order to communicate the collectivity of all facets. This use is common within the academic library community.
- Potential Donor – an individual who has been identified as having the capacity and interest in making a philanthropic gift. These individuals are also called prospective donors or prospects.
- Social Capital – there is much debate on this definition. For this paper, I am using this one:

“...the goodwill available to individuals or groups. Its source lies in the structure and content of the actor’s social relations. Its effects flow from the information, influence and solidarity it makes available to the actor” (Adler & Kwon, 2002, p. 23).

Clarification

There are many titles in the field of fundraising and inconsistencies across the sector as to what the titles indicate. There are also many terms for fundraising including “development” and “advancement,” for example. Throughout this project, I use the term “fundraising” and refer to those engaged in that work as “fundraisers.” Most of the data collected in this study are from a particular kind of fundraiser--i.e., a “major gift officer.” Major gift officers are primarily tasked with raising large gifts from individuals, and they

represent most of the fundraisers in this project. While it is not uncommon for a major gift officer to be involved with the process of submitting a grant application for a philanthropic foundation, that is not his or her primary role. Because academic libraries have a history of foundation support, it is important to clarify that most fundraisers currently working in academic libraries are major gift officers. They are expected to cultivate gifts from individual donors. While all philanthropic gifts support fundraising outcomes, major gift officers are measured on activity beyond those outcomes.

Assessment models for major gift officers are grounded in annual requirements for visits with individuals and submitted funding proposals. This pressure to meet activity goals discourages the kind of investment necessary to develop successful foundation proposals. Therefore, discussion about “fundraising” throughout this project refers to activity intended to achieve major gifts from individuals.

Literature Review

Introduction

This review of relevant research weaves together scholarship from various disciplines to bridge research to fundraising practice in the academic library. As a result, it is not exhaustive, but it demonstrates the complexity of this work and the need to customize fundraising activities for specific cases for giving. In addition to this holistic review, each of the three studies has its own literature review that aligns research with its specific focus. The intention is to demonstrate the vast knowledge required to properly examine the topic of fundraising, and specifically, fundraising in higher education within the academic library.

This study is not the first attempt to bridge philanthropy research with fundraising practice. In a white paper prepared for the higher education fundraising association, the Council for Advancement and Support of Education (CASE), Whillans (2016) positions philanthropy as a science. Discussing the practice of fundraising as a science is departure from the definition that many fundraisers are taught, characterized best by Hank Rosso, the founder of the Fund Raising School at Indiana University who claimed it is, “the gentle art of teaching the joy of giving” (1991, p. 88). Discussions on the role of social capital in the second and third studies in this dissertation makes the case that fundraising is both a science and an art.

Whillans advised that fundraisers build their fundraising strategy on three issues: donation impact, motivation, and effort (2016). Her recommendations are in line with most fundraising training courses that focus on the transactional elements in cultivating and soliciting gifts. However, she informed her readers of research on donor motivation that includes the experience of goodwill that emerges when individuals take action to help others. But rather than position this as a foundation from which to build strategy, she used it to make a case to fundraisers of the value of their work.

This study seeks to expand the concept of goodwill and its effect on giving. By defining the positive experience of giving more broadly as social capital, the art of fundraising takes center stage from which to build transactional models. The goal of this literature review is to break down current fundraising models to identify the factors at work in donor engagement. It is also intended to contextualize fundraising within the history of philanthropy.

Although there is robust research in higher education fundraising, it rarely reaches practitioners and is not leveraged in building practice models. Philanthropy consultants, who have a strong influence on fundraising practice in higher education, typically leverage anecdotal knowledge and industry reports and studies. Some of these are included in this review. This review demonstrates the disparate research disciplines that help explain the science and art behind fundraising practice.

Research on Giving

Understanding why individuals give or volunteer to organizations is vital to determining precisely which opportunities to put before them. It is a practice that is common amongst fundraisers, even though supporting research is rarely discussed in professional training. In practice, over time, it becomes clear to fundraisers that individuals bring their personal motivations and ideologies to decisions about philanthropic missions they wish to support.

Payton and Moody (2008) famously said that participating in philanthropy is a means for an individual to do something that benefits others. They characterized it as, “a private action for a public good” (p. 27). Findings in this study indicate that donors do respond positively when they receive benefits of giving in the form of social capital. Andreoni’s (1990) research speaks to the most fundamental benefit of giving, which is the good feelings that come from helping others. He claims that due to the experience of a warm glow, even giving without a direct benefit is still self-serving on some level. Harbaugh (1998) specifically identifies prestige as a motivating outcome for giving. This benefit to the reputation of an individual is so great that giving money away can actually increase someone’s wealth by strengthening their business network. Similarly, Beckers &

Weipking (2011) speak to a “social consequence” of giving by peers that also positively impacts an individual’s reputation (p. 937). Other scholars argue that not only does giving feel good, but everyone involved in the process benefits in some way (Anik et al., 2009). Other scholars have been able to measure a relationship between spending money on others and personal happiness (Dunn et al 2008; Dunn et al 2014).

There is theory to support this evidence. Systems theory explains the mutual reception between the organization and its stakeholders. Each party both serves and benefits from the other. Applied to fundraising, the stakeholders are donors, and fundraising is the bridge that facilitates the mutual reception. Kelly (1998) explains, “In their boundary-spanning role, with one foot in the organization and one outside, practitioners support other organizational components by helping them communicate across boundaries to external donors,” (p. 326).

The theory of the commons is another frame for understanding the phenomenon of mutual benefit in giving. In this concept, nonprofits produce goods and services for the commons. The donor, through their giving or volunteering, therefore, is a means by which the organization can meet its mission. Finally, social exchange theory explains the mutual benefit exchanged between the donor and the organization by giving (Kelly, 1998). This theory argues that the nature of the benefit is social capital. Even if a donor is satisfied with a simple feeling that they have done something good to help another, social capital is still built and therefore available to increase the status, influence and power of the individual.

Social Capital

Durkheim (1893) wrote about social capital long before it became the popular lens for research on social behavior that it is today. He saw it as a means for self-preservation. During a time of urbanization and industrialization where individuals were swallowed up in the masses and scale of industry, he saw social capital as a way to mitigate powerlessness. It was a hundred years before scholars would really delve into this concept. In 1986, the French economist, Bourdieu, argued that financial gain could not be the only motivation for achieving wealth. He identified social capital as well as cultural capital as means of wealth that, like financial capital, could be passed through generations and that all three working together were what shaped the world. He argued that one could not exist without the others. Even at this early stage of research on the topic, Bourdieu was aware that social capital had a collective value.

Scholars began to investigate social capital in the early 1990s to determine its structure in order to define it. Coleman (1990) began an inquiry with the concept of social capital as a function that facilitated certain actions on a social network. Soon after, this work was expanded by Portes (1998) who claimed the outcome of building social capital was more than simply actions but benefits for the actors. But why would others in a network provide benefits? This was Fukuyama's (1999) question and he theorized that the formation of norms preceded the assignment of benefits. These norms, when met through social actions, triggered benefits for the actor.

Robert Putnam was developing his definition of social capital during this same period. However, his book *Bowling Alone: The Collapse and Revival of American Community*, arguably put the concept on the world stage and initiated widespread

application across a wide span of disciplines. The publication of this book was so significant that the evolution of social capital theory can reasonably be understood as before Putnam and after Putnam.

Putnam was influenced by a French economist (Bourdieu, 1986) who expanded the concept of economic capital to social and cultural capital as well. Bourdieu understood social capital to be a real or potential mutual acquaintance and explained that the mutuality resulted in benefits for both parties. Further, he said that, similarly to financial capital, social capital could be leveraged to build more social capital. Coleman (1988) had inspired the field of sociology by the time Putnam published *Bowling Alone*, but this book is credited with bringing social capital to a public awareness. Putnam developed a two-pronged definition of social capital, defining it as both a network and as norms shared by those in the network. In the application to philanthropy, social capital theory provides a relevant explanation for the motivation for giving. The self-serving nature of social capital is fundamental to Putnam's definition. He explains, "Each individual act in a system of reciprocity is usually characterized by a combination of what one might call short-term altruism and long-term self-interest" (2000, p. 135). Further, he differentiated two kinds of social capital: bonding and bridging. Bonding reinforces exclusive identities and promotes reciprocity between individuals. Bridging is outward looking and includes people across diverse groups. The first is stronger but risks isolation, the second builds diversity but is easier to break down.

In an academic library, for example, ties built with a donor are most often the bridging type but can be cultivated into stronger bonds through the participation in building mutual social capital. Also, there are opportunities to form bonding networks

with former faculty, information professionals and individuals with a pre-existing passion for the mission of the library. Putnam offers clues in other ways to engage in his early list of the components of social capital. He singles out engagement in public affairs, volunteerism, association membership, informal sociability, and social trust.

Social capital, nearly absent from the literature until 1990, has become a very popular topic for research across disciplines. Google Analytics reveals that the term barely showed up in text before that time but has become common in the years since. Citations in published research on social capital hovered at around zero between 1970 and 1990 and then exploded to over 800 in 2013 (Kwon & Adler, 2014). Baker & Faulkner (2009) refer to it as a “growth industry” (p. 1531). As it has become more widely studied, social capital has entered the collective narrative. The rapid interest in social capital has been described as a “routinized” phenomenon due to its sudden proliferation across academic and public-facing writing and rhetoric. (Woolcock, 2010, p 469). Unfortunately, this routinization has broken down the definitions at times and created confusion. As interviews in Chapter 4 reveal, professionals associated with fundraising activity often simplify social capital to a social network.

Social Capital and Philanthropy

Moody and Paxton (2009) determined that social network research and social capital research were not integrated. Scholars looking at the networks were focused on physical connections but never mentioned the psychological ties (Adler & Kwon, 2002). Conversely, cognitive researchers developed concepts like “ghost ties,” which describe networks built upon memories and desires with no physical tie whatsoever (Kilduff et al, 2008). Outcomes of social capital, including access, influence and reputation, are

particularly relevant to philanthropy in terms of the motivation for giving. If fundraising professionals understand social capital as simply a network, the value of building strong ties with donors is not truly appreciated. Therefore, currently, social capital is not a core concept for building fundraising strategy. Without an understanding of social capital, studies show that individuals within a network do not leverage their network for its social capital benefits (Janicik & Larrick, 2005). The lack of widespread understanding of the value of social capital to fundraising across higher education suggests a great number of missed opportunities to engage donors.

Schervish and Havens (1997), who for years led the Center on Wealth and Philanthropy at Boston College, specifically looked at whether social capital influenced philanthropic giving. They established a theory that it did. Identification Theory includes five mobilization factors that impact giving. They include a community of participation, frameworks of consciousness around giving, direct requests to give, models and experiences of philanthropy from youth and the discretionary resources necessary to participate in philanthropy. This theory formally challenged altruism as the sole motivation for giving – a challenge insinuated even before Bourdieu and Putnam by none other than de Tocqueville (1830), who described the behavior he observed as, “Self-interest rightly understood” (Putnam, 2000, p. 135). De Tocqueville was talking about the association building that he observed in America in the first part of the nineteenth century.

Tollock (1964) was writing about the influence of giving years before the concept of social capital was widespread. He explained that individuals might give to charity that their peers support, but never would have made the choice to do it on their own (p. 332).

Other scholars mention the prestige that can come through philanthropy and how this behavior can increase wealth through the networks and reputation built among those with whom a donor can do business (Harbaugh, 1998). Andreoni (1990) questions the claim of altruism in giving, citing even the warm glow that comes from doing something good as a social benefit. Influencing others, increasing reputation and even just experiencing a warm glow are example of social benefits of giving.

In the field of philanthropy, social capital is primarily discussed from the donor perspective. Social capital is identified as a benefit to giving and volunteering. Kwon and Adler (2014) define the benefits as opportunities that the organization's network provides donors, the norms and values in that network that are the motivation for their behavior, and the ability to mobilize the network. They refer to this phenomenon as a "...folk schema of opportunity, motivation and ability" (p. 413), suggesting there is a tremendous opportunity for organizations that integrate opportunities and engagement that builds the social capital of their donors. Donors build their social capital through their current networks and the network that expands through their engagement with the organization. Access that the organization achieves to donor networks could result in access to other potential donors. The organizations that receive philanthropy also offer networks to donors through the practice of stewardship, which includes recognition, access, knowledge and other tangible and nontangible benefits. This is on top, of course, of the good feeling that donors receive from giving (Andreioni, 1990).

Higher education conducts stewardship better than most nonprofit organizations because of the scale of the donor network and benefit options. Strong ties to universities support annual philanthropic giving second only to religion in America (Giving USA,

2019). Higher education also offers many options for donor engagement, including everything from football games to guest lecture opportunities. Donors have many opportunities to build networks with other donors as well as members and leaders of the institution. Brown and Ferris (2007) determined that the “network-based social capital” (p. 94) is a key indicator in the likelihood to give.

There has been robust research on how to use the social capital that one has. Obokhova and Lan (2013) discovered that individuals who have strong social capital but did not use it did not achieve the benefits that the social capital would have allowed. The idea of mobilizing social capital requires an activation of the social network. In a 2012 study, Mariotti and Delbridge discovered two different kinds of ties in a social network: potential and latent. Potential ties are activated in the effort to create new initiatives and ideas. Latent ties are activated to maintain or cooperate. This delineation provides some insight into the different kinds of engagement in fundraising between potential donors and existing ones. New or potential donors are activated strongly through sharing information and engagement designed to align them with the mission of the institution. Existing donors, however, are maintained through the engagement built during the potential phase and, if done well at that time, these ties persist over time. Other factors determined to support social capital include space, motivation, and ability (Kwon & Adler, 2014). These terms align very well with fundraising training for donor cultivation. Fundraisers are taught that major gift fundraising will be successful if the solicitation is made at the right time, with the right opportunity and at the right amount (Tempel et al, 2010).

Institutional Social Capital

Much has been written about individual social capital, but organizations can hold it as well. Schneider (2009) defines organizational capital as, "...established, trust-based networks among organizations or communities supporting a particular nonprofit, then an organization can use to further its goals" (p. 644). Funding is one of the outcomes of strong social capital in nonprofit organizations, according to Schneider, as well as social services and volunteer participation. Her study demonstrates, for example, that even if there is not strong social capital between individuals within nonprofit organizations, institutional social capital is a key factor in nonprofit collaborations.

Activities associated with fundraising can play a role in building the social capital of the organization. Through the cultivation, solicitation, and stewardship of individual donors as well as foundations and corporations, fundraising builds networks grounded in the facilitation of nonprofit missions that improve conditions for people and places and discover solutions to problems that impact others. The social capital built through this activity provides similar benefits to the organization that a donor might enjoy including access, information, experiences, and meaningful relationships. Organizations that do not participate in fundraising miss out on those benefits.

Fundraising in Higher Education

Since Giving USA began publishing its annual report on philanthropic giving, giving to higher education has remained a popular area for donor support. Education received approximately \$58.72 billion of the \$427.7` billion dollars donated in 2018, coming in second only to religious organizations (Giving USA, 2019). However, this total also includes K-12 schools, libraries, and other educational institutions. The

Voluntary Support of Education (VSE) survey discovered a 7.2 percent increase in giving to higher education in 2018 (White, 2019).

Fundraising in higher education has been a regular practice in private universities in the United States since their founding in the eighteenth century (Thelin & Trollinger, 2014). Drezner (2011) explains that the full scope of philanthropy in higher education will never be quantified because it has occurred, "... from its inception" (p. 85). He speculates that philanthropic income published in annual reports does not truly represent the scale of support today, either. Public institutions have only recently embraced robust fundraising efforts after having enjoyed sufficient support through the state and federal government to meet expenses for many years (Bernstein, 2013). Public universities have responded by building robust fundraising programs (Drezner, 2011). Universities like Auburn University and Baylor University are closing in on billion-dollar campaigns while state universities in the Midwest close in on twice that amount (https://www.insidehighered.com/capital_campaigns). The 2020 Day of Giving for Purdue University raised a staggering \$42 million (<https://dayofgiving.purdue.edu/>).

Higher education continues to be a very popular place for individuals, foundations, and corporations to participate in philanthropy. Rothschild (2001) writes that philanthropy to higher education levels the playing field to some degree by providing the funds that allow those who cannot afford, for example, the cost of an Ivy League education the opportunity to have it. Scholarships as a focus for funding are significant but still second to funding research (Seltzer, 2017). A recent study of the last 30 years of giving to higher education by Shaker and Borden (2020) demonstrated a steady increase

in giving over that time. Notably, the only area within the university that declined in giving was the academic library.

Fundraising has become such an important endeavor in higher education that the fundraising efforts impact a wide variety of higher education stakeholders. In his analysis of higher education fundraising, Chan (2016) identifies stakeholders as university leadership, development leadership, faculty and students who need funding, and the donors themselves. With so many publics to satisfy, the higher education fundraiser needs to be well trained and adept at responding to diverse interests, agendas, and motivations to be successful. Even the history of the institution and its culture are factors that the fundraiser must respond to when engaging with donors and prospective donors. And, of course, the external economy and public opinion can be significant factors for fundraising requiring strong knowledge in these ever-evolving areas. Chan leverages institutional theory to illustrate the similarities between the elements that affect and influence higher education development structure and traditional organizations. Looking to establish theory specific for higher education, Drezner and Huehls (2014) are working to bridge theory that has been developed through nonprofit and philanthropy scholarship to the area of higher education in their collaborative work as well as their role editing the journal *Philanthropy & Education*.

The Council for Advancement and Support of Education (CASE) supports and trains professionals who facilitate fundraising. This association has influenced a professional standard of operation for fundraising praxis in higher education. One of the strategies that has emerged through standardization across higher education is one in which alumni or the university are aligned with their college for fundraising cultivation.

This model disadvantages non-degree granting units including the academic library. It is common for leaders in academic libraries to make the case that all the graduates are alumni of the library, but university development units do not organize alumni in that way. In fundraising practice, graduates are automatically attached by university development researchers to the unit from which they took their degree.

Even new and exciting tools for donor identification cannot help the academic library if there is not a clearly identified pipeline of potential donors. One of the leaders in the donor prospecting field, Wealth Engine (2012), published a best practice report illustrating the rapid advancement that donor identification has undergone as tools not only allow for evaluation and likelihood for giving but also predictive modeling to determine future giving. However, when prospective donors are sorted for evaluation based on their academic affiliation, researchers cannot query the data in a meaningful way for the fundraiser in the academic library. As a result, many prospect reports for academic library fundraisers are comprised of previous library student workers and retired library faculty, reflecting very low funding capacity as compared to prospect lists for other units. In *Expanding the Donor Base in Higher Education*, Drezner (2013) encourages all higher education fundraisers to look beyond what is considered the traditional donor to consider other populations to include for the long term. The academic library has always had to think this way.

Fundraising in Academic Libraries

In addition to challenges to successful fundraising related to the existing higher education fundraising model, another challenge to the academic library is related to a perceived decline in their value as an institution. Weiner (2009) worries that the library is

seen as merely an ancillary component of the university. Her rationale is that the library has not been visible enough in higher education literature (p. 4). This failure to connect to the larger discussion with the higher education community furthers the lack of awareness and recognition of the library as a partner in education, research, engagement, and fundraising (p. 29). Ultimately, absence from the larger higher education discussion increases the challenge of facilitating philanthropic support for the library.

A 2010 report commissioned by the Association of College and Research Libraries (ACRL), entitled *Value of Academic Libraries: A Comprehensive Research Review and Report*, responded to the growing concern that institutions were losing confidence in the value that academic libraries bring to their core missions. The report collects a tremendous amount of published research and examples of evaluations that demonstrate the value of the library. One of the recommendations in the report is that libraries align their evaluation with the goals of the university instead of making the library seem like an independent institution. The message from the report is that the academic library has true value, but it needs to be evaluated and communicated in a way that aligns with campus norms. Another study from the ACRL (2017) offers specific recommendations for how academic libraries should communicate their value to internal stakeholders including potential donors. They recommend that descriptions of value align with the mission of the university in order to encourage giving.

The American Library Association has made it a priority to prove its value through its Advocacy & Public Awareness initiative. In 2013, the ALA initiative reported that the current challenges for academic libraries were part of a larger value question regarding the higher education system. Funding is certainly not the only way to determine

value but giving is an expression of a determination of value on some level. Giving to higher education continues to climb across all giving opportunities except for one, the academic library (Shaker & Borden, 2020). Studies in this project demonstrate that the lack of access to donors and lack of support for fundraising are most likely factors in that decline. However, the decreasing philanthropic support for academic libraries does, nonetheless, negatively impact its institutional social capital putting it at risk for further decline in giving.

The fundraiser in the academic library has a challenging role. This position is one of the most difficult to maneuver in higher education fundraising. In addition to the issue of value discussed above, the academic library lacks the familiar giving opportunities that donors to higher education typically support. For example, scholarships, which are the most popular area of donor support, are not typically awarded through the library. Instead, academic libraries seek support for collections and library services, which are often considered by donors to be the responsibility of the institution. Lacking the traditional fundraising “buckets” of other academic units, measurable success for the university library often lags. As the Shaker and Borden’s (2020) 30-year giving study reveals, the decline of giving to academic libraries has been occurring for a long time but has experienced increased decline over the last ten years. With most giving to higher education going to research (faculty support) and financial aid (student support), for example, the library misses out on major sources of support (Seltzer, 2017). As a unit that is more focused on service than research and with no degree-granting academic program, this reduces the cases for giving in the library and challenges library fundraisers to achieve fundraising outcomes comparable to those in academic units.

Furthering the challenge, the academic library does not enjoy necessary staffing to achieve success. It is not uncommon for the library fundraiser to raise money for other units in addition to the library. This part-time, multi-focus approach only further dilutes the likelihood of significant philanthropic support for the library. In some other higher education environments, the task of library fundraising is divided amongst fundraisers. In a day where longevity in a position is favored, where knowledge learned is irreplaceable, and there is admiration for loyalty and dedication to one's academic unit and committed donors, sharing the load amongst part-time, multi-focused fundraisers can be detrimental to the fundraising effort. For libraries just beginning to think about building a fundraising program, Reid (2010) encourages them to invest in a dedicated fundraiser. The study in Chapter 2 demonstrates a significant lack in staff resources in the academic library over the last 25 years (Dilworth & Heyns, 2020).

A recent publication by the Association of Research Libraries (ARL) shows that between 2006 and 2018, nearly half their responding member libraries had a full-time fundraiser, but that over half of those individuals are also the only staff member specifically tasked with fundraising. In a drastic change in the 12 years between the two studies, the study also revealed that only 10% of the respondents hold an MLS (master's in library science) degree in the compared to one in five in 2006 (Keith, 2018). These figures reflect a shift from the librarian as fundraiser to a professional fundraiser and may be a contributor to a growing lack of understanding and value for the academic library. Aligning cases for giving in the academic library requires knowledge about the mission and activities in the library and an awareness of how those align with donor values and

interests. Without this knowledge, the higher education fundraiser can struggle to communicate the value of the library to donors.

Scholarship on fundraising for the academic library is sorely needed at a time when budgets are being reduced and the cost of scholarly resources climb. Sadly, widely distributed reports on the future of libraries and projections of future disregard this topic entirely. In a 2012 report discussing the ongoing challenge to communicate the value of the academic library, the authors fail to include fundraising as a component of expanding research partnerships across campus and communicating to stakeholders (Creaser & Spezi, 2012). In the American Library Association's 2020, "The state of America's Libraries", there is no discussion about philanthropic fundraising, yet an entire section is devoted to federal funding. Fundraising is an important source of funding that often provides the resources for major building projects and faculty positions. The decision to leave this funding opportunity out of such a comprehensive report reflects a lack of confidence in philanthropy to support funding needs.

A search for discussions on the topic of increasing funding demands for basic library resources results in pages of results for articles and blogs from virtually every major academic library in the country. While there are many compelling cases for giving to the academic library, the financial needs related to scholarly subscriptions are at the front-of-mind for library leaders. However, discussions with academic library fundraisers in these studies reveal that a compelling narrative for donor support for these resources has not yet been achieved. Similarly, Kemmis (1998) described what continues to be the fundamental challenge: "Decreasing government and traditional funding for libraries has encouraged librarians to increase fund-raising efforts" (p. 195). Fundraising may in fact

be a response to this condition but replacing government funding is not a compelling case for giving, either. Rader (2000) also discussed the reasons that funding needs will continue to increase, but also suggests a collection of relevant cases for giving in the academic library as well as some fundraising success stories.

Many of the articles on fundraising written for the academic library audience begin with a case for why fundraising is necessary in the first place. This is a revealing practice, and it often begins with a similar narrative. Kemmis (1998) set an unfortunate expectation when, while encouraging academic libraries to fundraise, he reassured them that fundraising would not make them “beggars” (p. 196). A discomfort with fundraising persists amongst academic library faculty and staff in many institutions. It may reveal a lack of awareness and meaningful engagement with higher education philanthropy literature, which would reveal that fundraising is a fundamental pursuit. On the other hand, Griffin and Kealty, recognize the ability for the academic library to build long-lasting relationships that go beyond graduation by providing strong student support. Their paper argues that academic libraries should recognize the potential outcome of future giving from student who enjoyed a strong relationship with the library and meaningful student engagement should be a long-term strategy for future support (2018).

A recent article makes the case for engaging with university alumni for fundraising that leverages expectancy and social exchange theories. The authors make the case that student engagement is necessary for future giving following graduation (Griffith & Kealty, 2018).

A 2016 book on fundraising for academic libraries discusses ways to position funding needs in the library to donors. It also includes fundraising success stories from

academic libraries across the country as examples for fundraising at other institutions (Dilworth & Henzl (2016). Professional organizations for fundraisers in academic libraries like ALADN and DORAL also offer support and ideas for achieving fundraising success. In academic library literature, however, fundraising is not a common topic. When it does happen, it is often in the form of a case study. A piece by Doan and Morris (2012) discuss a donor-funded renovation project but fail to provide information about the fundraising activities that led to the success. Though the donor funds are celebrated as critical to achieving their goal, the authors leave out the valuable nuts and bolts of the cultivation, request and stewardship of the donors. Examples of the process of raising philanthropic support are crucial to demonstrating methods for successful fundraising.

Even though higher education institutions expect the library to fully engage in fundraising efforts, the academic library seems to be dragging its feet integrating fundraising in strategic planning. The excuse cannot be made that the idea of library fundraising is new because the topic was discussed as early as 1971 in *College & Research Libraries* by Andrew Eaton. He not only predicted the eventual need for private funding in academic libraries; he suggested avenues to pursue with donors that are still relevant today. His article, however, was directed towards library leadership and staff, and this continues to be the trend. The few articles on fundraising are not directed at practitioners, and it is highly unlikely that professional fundraisers would research scholarship on the topic.

Barbara Dewey, the Dean of Penn State Libraries, wrote for other library leaders in 2006, while she was at the University of Tennessee, Knoxville offering a complete explanation of the fundraising process and the challenges communicating the potential of

the library to university leadership. Her characterization of fundraisers working in higher education, however, as, "...'professionals' come to the position with a business-like, unemotional and strategic approach to campus development," is an unfortunate minimization of a practice that is leveraged on authentic relationship-building with individuals and risks undermining their reputation amongst library leadership, faculty, and staff (p. 6).

Hannah (1997) employs giving data as evidence of potential for libraries' giving. Contextualizing the library within evidence of high rates of giving to higher education is a good approach to providing hope that fundraising success is possible. Another study examines the inefficiency of library webpages for making online gifts, which is a method of donating that is fast becoming the norm. Hazard (2003) determined that even though ARL surveys reported a 20% increase in online giving to their institutions, most library websites presented significant barriers to making an online gift. Helping libraries align their tools with giving trends makes it more likely they will receive gifts. Not having a method for making online gifts, is a missed opportunity and a message that support is not needed.

Solutions for Successful Fundraising

Helpful solutions to fundraising challenges have appeared sporadically over the last 25 years. Hunt and Lee (1993) published an effective fundraising model for the academic library including a gift table to set fundraising goals and strategy. The article even provides a step-by-step guide to making a solicitation. Streit and Samuel (2002) contextualize fundraising challenges in the library within the larger philanthropic sector. The early 21st Century was a period of economic downturn, and the authors explained

how Higher Education was responding by making the case for giving more applicable to employment and recovery. They warned that the liberal arts (in which they include the academic library) are at a disadvantage in this trend and suggest that cases for giving in the library be better aligned with philanthropic giving trends.

In addition to the Heyns dissertation, which is discussed at length in Chapter 2, two others from the 1990s focused on fundraising for the academic library. Latour (1995) surveyed academic libraries to determine if, how, and why they were fundraising. He found that two-thirds of the libraries that responded were engaged in fundraising, with a success rate of around 70 percent. However, he discovered great diversity in how academic libraries approached fundraising in terms of staffing, for example. He determined that fundraising activity was adjusted to meet specific conditions in libraries and the unique interests and capacity of donors and potential donors. Paustenbaugh (1999) developed a measure of success and tested it against fundraising outcomes in a survey of 45 ARL libraries. Her analysis of geographic, institutional, and financial effects on fundraising reveals great diversity in the situations and environments libraries must navigate to raise much-needed funds.

All three dissertations were by scholars in the field of library and information science. Like much of the research on fundraising, however, fundraisers working in the field rarely know about these findings. The impact of this gap between the scholarship in the field of academic libraries and the individuals tasked with the fundraising role cannot be overstated. The fundraising position for the academic library is most often filled by a professional higher education development officer, not by library staff or an information professional. For the typical higher education fundraiser, the academic library is a very

different challenge than the traditional university development model and an area where there is very little training available, as Lorenzen (2012) discovered in his survey. Even without library-specific training, however, he found that having a fundraiser dedicated to the academic library increases fundraising. The greatest challenge to fundraising success reported by fundraisers in this study and other similar surveys is the traditional higher education fundraising model that aligns alumni with the unit from which they took their degree.

Although scholarship on fundraising for the academic library is growing, it continues to focus on the academic library leadership audience. With this gap in mind, my co-authored publication, *Successful Fundraising for the Academic Library: Philanthropy in Higher Education* (Dilworth & Henzl, 2016), illustrates how to align cases for giving in the library with traditional higher education giving models. The publisher intentionally marketed the publication to fundraisers. Two professional associations dedicated to fundraisers in academic libraries also offer support. The largest is the Association of Library Advancement and Development Network (ALADN). This organization is open to development officers, communications directors, and leaders in academic libraries in North America. Development Officers of Research & Academic Libraries (DORAL) is a smaller workshop group open to a limited number of members representing Association of Research Library (ARL) institutions.

Gonzalez (2013) outlines the current trends for higher education fundraising for academic library leaders. He provides a helpful history of fundraising in academic libraries as well as a general history of philanthropy in the United States. He reminds the reader, “Throughout the twentieth century, academic libraries were considered to be the

heart of the academic institutions ... [but they] have been forced to radically revisit their practices and reinvent themselves due to the current explosion and development in the delivery of information, new academic models and worldwide financial disruptions” (p. 2). Much of the challenge for successful fundraising in the academic library stems from this transformation from the library many donors remember to the ones enjoyed by students today. The shift from print to digital assets, for example, has put the value of the library in jeopardy with so many unaware of the ever-growing demand for digital resources to meet fundamental learning and research missions at the institution.

Hernon, Powell and Young (2001) analyzed data collected from leaders and emerging leaders in academic libraries and identified fundraising as an indicator of strong leadership skills in this environment. However, their second paper expanding the discussion asks the general question, “Where can each attribute best be acquired?” (2002, p. 73). It is true that while the pressure is on library leaders to participate in fundraising, there is little training for them. The opposite is true for leaders in university development and fundraising. They are well-trained in fundraising practice but know little about the library and certainly lack training on how to identify donors for the library or build cases for giving for this area.

While there are often articles or case studies on the topic of fundraising in publications such as *College & Research Libraries*, articles linking with philanthropic scholarship on fundraising is rare. Responding to growing pressure on library deans/directors to prioritize fundraising, a popular publication for academic library leaders, *Where There's a Will, There's a Way: Fundraising for the Academic Library*, (Huang, 2006) makes the case for its value for successful fundraising to library

dean/director. Winston and Dunkley (2002) analyzed job announcements for academic library leaders for words or phrases that indicate an expectation to engage in fundraising. Even 20 years ago, previous experience raising money occurred 73.1% of the time. The authors express concern at the lack of literature on the topic of fundraising in library scholarship. *Becoming a Fundraiser: The Principles and Practice of Library Development* takes great pains to describe how fundraising works in a university environment from an explanation of central development to comments on specific skills and resources the development professional brings to the fundraising effort. The authors position the dean as the lead fundraiser, with the development professional as a resource (Steel & Elder, 2003).

Positioning the library dean/director as the fundraising expert in the relationship between fundraiser and academic leader is common across higher education but can undermine fundraising success. The best scenario is for the dean/director to mentor fundraisers so they can recognize the value of the library and develop cases for giving. The fundraiser is uniquely trained in how to bridge cases for giving to donors. Steel and Elder (2003) take pains to respond to the persistent discomfort with fundraising by debunking incorrect and unhelpful perceptions by library faculty and staff about development work and fundraisers. They encourage library deans/directors to bring fundraisers into the fold of the library community to combat the “us and them” attitude that will undermine the fundraising effort. In *More Than a Thank You Note: Academic Library Fundraising for the Dean or Director*, the authors lay out the potentials and pitfalls of fundraising for library deans/directors. They outline a strategy for partnering

with fundraisers in a collaborative way while still maintaining the leadership role in the relationship and within the institution (Thompson & Jennings, 2009).

The other significant discussion in this realm is helping academic library deans/directors understand that, in terms of the fundraising effort in the library, the fundraiser is bound by ethics to respond to the interests of the donor (Association of Fundraising Professionals, 1964). This scenario does not dilute or undermine the mission of the institution. Fear about donor control is common in the university environment. Because donor intent is so important, the fundraiser needs to understand the parameters of engagement. At the same time, library staff need to relax some of their assumptions that connecting with donors translates into donor-driven mission or service. A well-trained fundraiser has the skills to suspend a cultivation when there is risk to the mission and management of the library.

Collaboration is an ongoing theme when looking at solutions to the challenge of fundraising for the academic library. Alexander (1998) warns against operating in isolation on the university campus and suggests partnerships with other colleges, boards, and alumni. This is a great place to start in setting the unique strategy necessary to bring in the funds needed to support the broad range of services and technology provided by the library. However, before that can happen, the entire university development organization must be made aware of and acknowledge the unique challenge of the academic library and the value its cases for giving can bring to a collaborative funding proposal. In my interviews for Chapter 4 with over 30 academic library fundraisers representing a wide range of libraries and levels of success, only one had ever achieved a

collaborative proposal with an academic unit. This scenario, so often discussed as an obvious strategy for increasing funding for the library, is rarely achieved.

It probably came as quite a shock to his readers when Andrew Eaton warned in 1971, "...more and more librarians will become involved in [fundraising]" due to the increase in demand for resources alongside dwindling budget allowances from funding sources (p. 351). But he did offer hope that is still relevant today when he said, "...there are potentialities for library fund raising which will amply repay those librarians who are willing to devote their time and effort to it" (p. 351). And as to the act itself, he advised, "...librarians who want to become involved need certain basic information about sources of funds and approaches to prospective donors which they can readily obtain from colleagues and from development office staff members who have been working in the field" (p. 351). Even at this time, Eaton understood that the fundraising task would ultimately be the role of a fundraiser. In 1994, Dwight Burlingame argued that fundraising be a component of a robust budgeting strategy rather than merely a response to losses in traditional funding. On the issue of library staff's aversion to the task, he asks, "What does development have to do with the mission of the library? Everything" (p. 472). The following year he presented case studies from the field with proven fundraising success using a variety of approaches. In one important discussion, he reminds the reader that libraries began in this country as privately funded institutions, and that it was only when they became open to the public that public entities provided support (Burlingame, 1995).

Academic libraries are aware of the need to increase funding to support service and resources. In a paper presented at the 1997 conference at the International Federation

of Library Associations and Institutions (IFLA), Rader, then University Librarian at the University of Louisville, outlined the emerging challenges to adequate funding. She identified institutional support, increasing costs and demand of services and resources and suggested a robust fundraising strategy as part of a strategic solution. This strategy included all traditional elements of a higher education fundraising strategy including an annual fund, major gifts, and a planned giving program. Over 20 years ago, however, there was no recommendation for a professional fundraiser. Instead, she recommended “the best team for fund-raising” (para. 22), which based on other discussion in her paper probably consisted in her mind of staff and volunteers from the Library Friends group.

Within four years of this presentation, Peter Hernon (2001, 2002) and others recommended a new generation of academic library directors. “...recognize that external funding is important and be willing to work with the university's development office in fund-raising” made the list (2002, p. 119). Leaders in the field seemed to agree when, in the second paper, they reported fundraising as a high priority for a library leader (2001, p. 77). Evidence for an encouraging shift in this ongoing issue can be found in the 2017 report by the Association of College Research Libraries (ACRL) entitled “Academic Library Impact: Improving Practice and Essential Areas to Research” which primarily makes a case for new assessment models that more effectively communicate the value of academic libraries. When defining stakeholders who desperately need to understand the positive impact that academic libraries bring to students, for example, the authors include private funders alongside university leadership. They identify six priority areas for libraries to demonstrate their value, which translate very well to cases for giving. Recommendations include the library’s contributions to the campus community,

alignment of the library to university missions and initiatives, data appropriate for institution-level reporting, quantitative data on student impact, evidence of participating in teaching and learning and reports of faculty collaboration (2017).

Unfortunately, what is missing in literature meant for a library leadership audience are fundraising models specific to the academic library. Many a case has been made for the need to fundraise and for prioritizing fundraising in strategic planning, but the advice is too often simply to work alongside fundraisers. It is a mistake to assume that the higher education fundraiser is equipped to fundraise for academic libraries, which represent a dramatically different environment and challenge than the academic units they are trained to support. Because of the challenge to fit within the current model for higher education fundraising, the academic library should look to the nonprofit sector and relevant selections from business management literature for guidance when constructing a strategy for fundraising in this environment. With unique services, professional skillsets and culture, the academic library is a much different environment from other fundraising units on campus.

Social Capital, Fundraising, and the Academic Library

Participating in philanthropy builds social capital for the donor. There is evidence that reputation and peer recognition are a “social consequence” of giving and encourage more giving (Bekkers & Wiepking, 2011, p. 937). Furthermore, measurements of social capital and donations to nonprofit organizations show that individuals with high social capital give more (Brown & Ferris, 2007). The cycle of giving, creating social capital through that act, and feeling encouraged to give more drives strategies for donor

cultivation and stewardship in the practice of professional fundraising. Fundraising also builds social capital for the academic library.

What does social capital in the academic library look like? Much like an individual, an institution with high social capital is trusted, highly engaged through strong networks, and ensconced in a cycle of success that creates more success. An institution with strong social capital has a higher likelihood of receiving support. If donors build social capital through giving to the library, then libraries can build social capital through the engagement with the process. The creation or growth of social capital through the relationship with the library dean and others in the organization is a meaningful benefit enabling future fundraising success. For the donor, fundraising builds social capital through the relationships established and nurtured during the fundraising process. In addition, donors gain connections with other donors and expand their reputation in their communities through helping others. Kwon and Adler (2014) use a definition from *Merriam-Webster Dictionary*, “a kind, helpful, or friendly feeling or attitude” as a base for its effects. These they explain as, “information, influence, and solidarity benefits that accrue to members of a collectivity and to actors whether individual or collective.” Individuals within the library who facilitate giving as well as the institution itself, also benefit by expanding their professional networks. Moreover, like their donors, the libraries’ reputation expands in the eyes of its community of peer institutions and the campus communities they serve.

If wealth positions an individual for networks that build social capital, then the same can be achieved by an organization. As that social capital builds through funds raised, more donors will come forward. Giving data show that donors like to support

organizations they see as successful (Gunther, 2017). A well-funded organization communicates to potential donors that others before them have vetted its value and sustainability. This process of trust born from evidence of previous giving by others proliferates, ensuring sustainable growth and expansion of funding access into the future. In order to find the greatest possible success in building the wealth and security of academic libraries, research has shown that the greater the investment in fundraisers and the more experienced and better trained the fundraiser, the better the fundraising outcome (Sargeant et al, 2018).

Chapter 2 - Fundraising in Academic Libraries: Looking Back and Defining New Questions

Data Collection and Analysis

In collaboration with Erla Heyns, Ph.D., a faculty member in the Purdue University Libraries, I conducted a quantitative study of library development officers and academic library deans. This study was approved through the Purdue University IRB office in November 2017 (see Appendix A). The questionnaire was distributed in January 2018 to members of the Academic Library Advancement and Development Network (ALADN) who participate in the association's listserv. The goal was to get 200 surveys, but only 79 useable surveys were received after multiple attempts to collect. A report of the findings from the survey compared to similar findings from similar studies in the 1990s, including Dr. Heyns' doctoral dissertation, was published in the September 2020 edition of *The Journal of Academic Librarianship*. The pre-print of that article is included in this chapter with permission from Elsevier Group PLC.

This study was designed to contribute meaningful knowledge to fundraising in the academic library, which is extremely sparse, to contribute to best practices in this unique higher education environment.

Using the Qualtrics survey tool, fifty-five questions covered topics related to fundraising in the academic library. Questions addressed library leadership, fundraising strategies, the structure of university development, the experience of the library fundraiser and support for fundraising from campus partners. Other questions gathered data on investments in fundraising, prospects for giving, fundraising success and the kinds of gifts that are most common.

Using the *Qualtrics* survey tool, 55 questions covered the following topics:

- Library Deans/Directors
 - Length of time in position
 - Participation in fundraising
- Library fundraising strategies
 - Cases for giving
 - Fundraising plan
- Library fundraisers
 - Size of staff
 - Budget for fundraising
- University development structure
 - Centralized or decentralized
 - Whether or not an officer is specifically focused on the library
- Library development officer
 - Years of fundraising experience
- Fundraising support
 - Use of fundraising consultants
 - Marketing/PR support
 - Institutional support of library fundraising
 - Leadership
 - Athletics
 - Library faculty/staff support for fundraising
 - Participation in fundraising
 - Volunteer support for fundraising

- Friends of Library
 - Advisory councils
- Donor Prospects
 - Access to prospect pool
- Fundraising success
 - Number of gifts
 - Amount of giving
 - Large gifts
 - Source of gifts
 - Size of endowment
 - Amount of endowment income leveraged for operating expenses
- Library Demographic information
 - Size of collection
 - Size of staff
 - Operating budget
 - Institution enrollment

Case Selection

Participants were recruited from the largest academic library fundraising association, the Academic Library Advancement and Development Network (ALADN). Members of this association include academic library leaders (deans and university librarians), development officers working in the academic library, and communications professionals working in the academic library. I employed a snowball method through this initial distribution, asking members of ALADN to further distribute the survey and/or

communicate the importance of this study to colleagues. This group was selected because it is the largest professional association for fundraisers in academic libraries.

- This group of professionals is the most likely to have the information to complete the questionnaire
- This group of professionals is the most likely to take an interest in the outcome of the questionnaire and associated research
- Members of this group have repeatedly asked for this kind of survey
- Members of this group are most interested in best practices for fundraising for the academic library
- Members of this group are reasonably active on the association listserve
- Members of this group have strong networks within the association, increasing the likelihood that they will trust the individuals facilitating the survey and choose to participate in the study

Data Collection

Using the *Qualtrics* platform, a questionnaire was created and distributed to the ALADN listserve in January 2018. The *Qualtrics* tool is specifically designed for research questionnaires so is designed to capture data in a way that it can easily be analyzed, queried, and manipulated.

Analysis Approach

Statistical analysis provided by the *Qualtrics* tool was reported and contextualized against the 1995 Heyns study and other similar studies conducted at that time.

Strategies for Ensuring a Quality Study

- Use of *Qualtrics*, generates data that are easily analyzed

- Questions are adapted from a previous, successful survey on the same topic 25 years ago.
- Data were independently verified by each member of the experiment team to ensure accuracy.
- The risk of selection bias was limited by instituting a study design that has variation on the dependent variable (Collier et al., 86).
- Case studies of both success and failure were included in the research in order to limit the risk of selection bias (Collier et al., 87).
- The appropriate study groups could emerge from the data to limit selection bias.
- The “two-way connections between macro level conditions and micro level behavior” regarding the research question was examined using a mechanism perspective in order to limit the risk of mistakes identifying cause and effect (Small, 597).

Feasibility and ethics

Selection: ALADN is the largest of two associations with a specific mission to support fundraising in academic libraries. By distributing the survey over the listserve, responders represented a diverse population of academic libraries in North America.

Consent: The language in the email message that accompanies the questionnaire as well as additional instructions in the questionnaire explained the following (full text below):

- Submission of the questionnaire constitutes consent to use the data provided
- A skip option in the *Qualtrics* tool allows responders to complete the survey even if they choose to not answer all of the questions.

- While participants' personal information (name and institution) will be requested, they are not required to provide it to complete the survey.
- All data collected are for the sole use of the researchers on this study, will not be made public or offered to other researchers for study, and will be stored on a secure cloud service.

Incentive: There was no monetary incentive offered to participate in this study.

However, the introductory email offered a rationale that academic libraries would benefit from the data that emerged from the study.

Rationale

- As a unique academic unit in higher education institutions, the academic library needs to establish best practices and build collections of case studies for fundraising
- Research on the topic of academic library fundraising is extremely sparse
- The researchers are uniquely positioned and qualified to lead this study
 - Erla Heyns, Ph.D. Indiana University. Information & Library Science, minor in Philanthropic Studies.
 - Kathryn Dilworth, Assistant Dean for Advancement and External Relations at California Polytechnic State University and Ph.D. candidate in Philanthropic Studies with minor in Information & Library Science, Indiana University.

Project timetable

- The study was given exempt status by the IRB office at Purdue University in November 2017.

- It was distributed via the ALADN and DORAL listserves in January 2018 and emailed individually to specific academic libraries.
- Two follow-up emails were sent to the same lists at 30-day intervals to encourage more participation.
- The study was submitted for peer review with the *The Journal of Academic Librarianship* in April 2020.
- The study was accepted for publication with *The Journal of American Librarianship* in June 2020.

Introduction

Fundraising has expanded a great deal in higher education since the 1990s. A recent report of 400 public and private universities included an analysis of the increase in giving over the last thirty years. Academic libraries have had the slowest rate of growth compared to other sub-units on campuses including academic units, faculty/staff, research, public service, the physical plant, student aid and athletics. In fact, this report revealed that philanthropic funding to the academic library has declined over the last ten years (Shaker & Borden, 2020).

The data collected in this study is the first step in understanding why giving to the academic library is declining at a time when funding support is more crucial than ever. The data from this study is significant because the only data collected on fundraising activities since the 1990s has been in studies conducted with members of the Association of Research Libraries (ARL), which represent only libraries in large, research institutions. Updating this data provides information to improve fundraising practice, and, in addition, provides a foundation from which to pursue more research on this topic. The goal of this study is to update and expand data collected in previous studies, identify and discuss comparisons and change over time, and identify topics for further research on fundraising in academic libraries.

Literature Review

Research on the topic of fundraising for the academic library is not particularly robust, but it has existed since the early 1970s. Eaton (1971) predicted at that time that fundraising would increase as demand for library resources expanded and the need for funding increased. He advised,

...librarians who want to become involved need certain basic information about sources of funds and approaches to prospective donors which they can readily obtain from colleagues and from development office staff members who have been working in the field” (p. 351).

This quote suggests that he expected library professionals to be responsible for this task. At the end of that decade, however, research revealed that few librarians wanted to participate in fundraising activities (Breivik & Gibson, 1979, p. 8-9). As demonstrated in the survey results, most fundraising staff are professional fundraisers and not librarians.

Not much more was published on this topic until research began in earnest in the mid-1990s. In a 1994 article in *Library Trends*, Burlingame makes the case for fundraising in the academic library. With costs rising beyond the value of allocated budgets, he identifies fundraising income as crucial to meeting future needs. The next year he published a book compiled of case studies of successful fundraising efforts in both public and academic libraries. The two cases selected for giving to academic libraries were popular giving options for that time: endowed book funds and a renovation project (1995). Three dissertations on academic library fundraising were also published during this decade. All included a survey of academic libraries on issues related to fundraising. The first in 1994, collected fundraising-related data from academic libraries in public, land-grant institutions. It identified common practices in higher performing libraries. Five conditions emerged as contributors to fundraising success: collaboration with a university development unit, a dedicated budget for fundraising, more fundraisers with more years of experience, engagement with consultants and a robust program with a variety of giving programs. (Heyns, 1994).

A year later, Latour (1995), completed a study of nearly six hundred academic libraries in the United States representing a wide range of higher education institutions. His data reveals a wide variety of fundraising activities in academic libraries at that time in varying degrees of preference. He concludes that two thirds of academic libraries were fundraising, and that most were doing it to assist with the ever-increasing costs of library resources. Respondents reported satisfactory outcomes with most of their fundraising activities. However, the author determined that there was not a single model for success. He explains, “Local conditions are a major determinant of what may or may not be the most appropriate fund raising technique and methods to employ” (Latour, 1995, p. 232). Factors within the institution and outside in the form of donors and potential donors shape the way fundraisers function and how they determine priorities and develop strategies.

The third dissertation on this topic in this decade drilled deeper into data collected by the Association of Research Libraries (ARL) studies of their member libraries to examine the factors that contributed to the highest performing libraries in their institution’s capital campaign. Paustenbaugh determined that prestige of the institution was a major contributor to success, and she identified the following factors as a demonstration of that condition: that the academic library was a major focus of the university’s capital campaign, that it was included in the prospect management process in the university development program, and that it had a dedicated fundraiser (1999, p. vii-viii).

In addition to librarians, academic library deans/directors are also the subject for much of the research on fundraising. A 2000 survey of academic library deans/directors

reported that they had become “active players” in fundraising (Hoffman et al, 2000). A handbook published by the American Library Association (2003), positions the development professional as an integral resource for fundraising success but advises that most large gifts come from donors already connected to the library, and most often when the donor has a strong relationship with the library dean/director. Haung (2006) makes the case for the need for the library dean/director to work with fundraisers to ensure the highest level of success in fundraising. Thompson and Jennings’s (2009) tells them how to do it. Titled *More than a Thank you Note: Academic Library Fundraising for the Dean or Director*, the authors, both academic library fundraisers, describe the full scope of fundraising activities and provide instruction for the fundraising process. A recent ARL survey of fundraising activity at its member libraries reported that academic library deans/directors do spend a significant amount of time on fundraising. Respondents reported that their dean/director spends on average 36% of their time on fundraising activities. This time is most often dedicated to individuals who give the most (Keith et al, 2018, p. 4).

Hodson’s (2010) study suggests fundraising is a solution to the rising costs to meet the mission of institutions paired with decreasing support from government stakeholders. Prioritizing operating expenses as a case for giving in the library is common in articles on the topic of fundraising. But, according to a recent study on fundraising activity in higher education, this opportunity does not align with typical donor behavior. Across all giving for higher education, giving to unrestricted causes has decreased significantly over the past thirty years. (Shaker & Borden, 2020). The decrease in giving to academic libraries during this same period suggests that cases for giving need to be

better aligned with donor interests. This is the purpose of a 2016 publication that includes models for aligning academic library funding needs to higher education donor interests. It includes success stories from academic libraries across the country (Dilworth & Henzl, 2016).

In 2002, Winston and Dunkley bemoan the fact that, “Of the extensive body of literature on development and fund-raising in academic libraries, the research literature does not address the knowledge and the skill set that librarians need to be effective development officers for their organizations” (p. 172). Data collected from the nonprofit sector demonstrates an increase in the use of professionals who specialize in fundraising (Meshch & Rooney, 2008). The rationale that professionalization will lead to greater fundraising success, however, has only just recently been tested. A 2016 study began by identifying criteria that reflects professional practice. The authors determine five factors that must be met on some level to claim professional fundraising practice. The first is that fundraisers are employees and not volunteers. The second that there is significant representation of fundraising staff compared to overall staff in the organization. The third that fundraisers are trained for their role. The fourth that external expertise on fundraising be integrated into the activity of fundraising staff, and finally, that leadership of the organization should include fundraising experts. They discovered that organizations that meet these criteria have better fundraising success (Betzler & Gmur, 2016). Regarding the value of job training for fundraising, a 2018 study of over six hundred U. S. nonprofits that specifically asked about the impact of training for fundraising outcomes was able to demonstrate that, “There is a strong correlation between the range of training and educational opportunities afforded to staff and overall fundraising performance. Each

additional form of training/education is associated with an increase of \$37,000 in income” (Sargeant et al, 2018, p. 8).

Methodology

A survey was distributed to members of two academic library fundraising associations. The questions were modeled after the survey in the 1994 Heyns dissertation and sought similar information as a 2018 ARL survey conducted for their SPEC Kit series on fundraising in their member libraries (Keith et al). Those and other previous studies are used in comparison to each other in the analysis of the data collected. The intent of this study is to update information on fundraising activity from diverse academic libraries ranging from large to small and public to private. The survey questions cover the following categories:

- Fundraising priorities
- Access to potential donors
- Information about the fundraiser
- Information about other stakeholders who participate in fundraising
- Fundraising activity
- Structure for university development unit
- Institutional support for academic libraries

The survey was distributed to 334 members of two professional associations that support fundraising in the academic library. The Academic Library Advancement and Development Network (ALADN) is open to any professionals involved in academic library fundraising. Development Officers of Research and Academic Libraries

(DORAL) is only open to academic library fundraisers whose library is a member of ARL and invests in a full-time fundraiser. Email lists were de-duped, and emails that were determined to be invalid were removed. The total number of survey recipients does not represent the number of individual academic libraries contacted. In the case of ALADN, for example, it is possible for more than one individual from a given institution to be a member. Therefore, attention was paid to verify that no institution had multiple submissions. In anticipation that respondents may not answer all questions, the survey was designed with the capability to skip questions.

The survey was distributed on January 16, 2018, and a reminder was sent on February 2, 2018. Due to lower response than expected, a second distribution occurred on July 16, 2018. The first distribution resulted in 47 partially or fully completed responses of the 63 recipients who began the survey. The second mailing resulted in 30 full or partially completed surveys of the 36 recipients who began the survey. Due to the option to skip questions, the number of responses for individual questions is not consistent across the study. The response rate was 23 percent with 77 total responses. Though the participation was lower than expected, except for the Latour (1995) study, this rate was like previous studies of this kind. Seventy-one percent of the respondents represented public institutions, 26% represented private institutions, and 3% claimed to represent both.

Study Results

Fundraising Priorities

Respondents were asked to rank fundraising priorities in their academic library from highest to lowest. Discretionary funding is most often selected at the highest

priority. The second highest priority reported is in support of facility construction and renovation. Library materials were reported as the third priority with faculty support and equipment coming in fourth. “Other” was the least selected category, and notes from those answers include tutoring, support for student workers, digital scholarship, digitization, and the university press. No respondents selected funding for additional library staff as a priority.

When asked to rank the form of gift which is the most important for the library, major gifts are reported as the most important. Next in importance is the annual fund followed by deferred gifts and, finally, gifts secured during the capital campaign. Recent data reveals that deferred gifts are becoming more popular and currently make up 9% of all charitable giving. (Dale, 2019). These gifts are motivated by a desire to leave a legacy with an institution. The academic library is an attractive option for a donor with that motivation. In the past, however, academic libraries did not focus as much on major gifts. The Latour (1995) study found that foundation giving was the most common gift in the 1990s and that major gifts were ranked the 7th most common. At that time, annual book sales were the 3rd most common fundraising income. The shift to major gift focus may have been at the expense of a tradition of strong foundation support for the academic library.

Access to Potential Donors

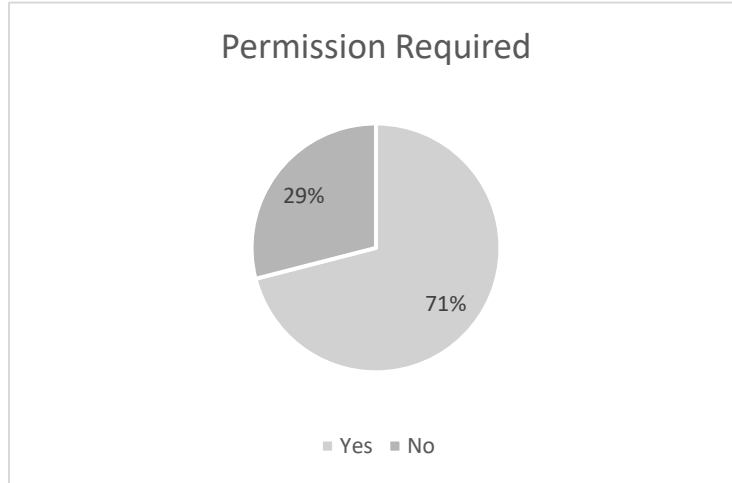
University development units often utilize a donor management model that assigns donors and prospective donors to individual fundraisers. This is done to control the level and nature of communication with donors and prospective donors from fundraisers. Without this model, there is a risk of many fundraisers reaching out to the

same individuals, which could damage the institution's relationship with that donor.

Another reason for the donor management model is to allow individual fundraisers to build strong relationships with a donor or prospective donor. This is important because strong engagement with the institution is a factor in a donor continuing to give and increasing their giving (Brown & Ferris, 2007). However, this model can also have negative outcomes. For example, it reduces the giving opportunities put before a donor. Additionally, since it is common practice in this model to align donors with fundraisers in the college from which they graduated, cases for giving for academic libraries and other non-degree-granting units are not widely shared.

Most (52%) respondents to the survey reported that they were required to seek permission if they wanted to solicit all the alumni of their institution. Permission was required from either the university development unit, the alumni relations division or individual development officers. Others, however, reported that they do not have to ask for authorization (29%). For those who reported "other" (19%), explanations reveal that they also must ask for permission. Therefore 71% of those who responded to this question are expected to ask permission to reach out to all alumni and 29% are not. [See Figure 1.] That seems extremely severe except that in the commonly utilized donor management model described above that requirement to get permission applies to all fundraisers. The expectation is that fundraisers will focus on the donors and prospective donors selected for their personal prospect list created by researchers in the university development unit. However, in further questioning that digs deeper into this issue, it becomes apparent that academic libraries are still at a disadvantage to the degree-granting units.

Figure 1: Permission Required



Further questions reveal that only 9% of the respondents have absolutely no access to alumni for fundraising. Most (44%) reported that they have unlimited access to alumni who have not already made a gift to the university. Thirty-five percent can contact current donors to other areas if they ask permission to do so. A small percentage (4%) reported that they have access to alumni in some departments. Another small percentage (8%) reported “other.” Lacking academic library alumni, the fundraiser’s donor prospect list has fewer and weaker options for fundraising than peers in the degree-granting units. Those selected by researchers in the university development unit can vary widely depending on the level of understanding for the value of the academic library and awareness of its cases for giving. The 2018 ARL fundraising survey asked for more context of their member libraries on this issue and reported that academic libraries in their association need a good reason to reach out to prospective donors not already supporting the library. Their member libraries reported that permission would most likely only be given for short-term campaigns to support specific projects (Keith et al). The fundraiser in the academic library is often challenged with a prospect list that lacks the

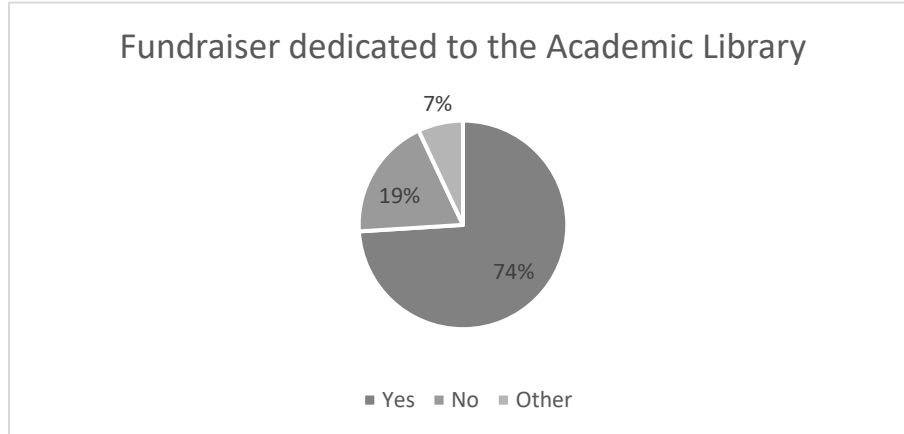
potential of fundraisers in degree-granting institutions and is forced to fill the gaps with alumni who have never given to the university. Individuals who have received solicitations since graduation but have not yet made a gift have a low likelihood of future giving.

In 1995, Latour found that 33% of respondents were required to get authorization to reach out to alumni. Access to alumni appears to have worsened over the last twenty-five years as fundraisers in the academic library are left with alumni lists with weak ties to the institution and uncertain alignment with the library mission. The Heyns (1994) study did not specifically ask about common donor groups, but her data did demonstrate that the libraries in her study that were the most successful at fundraising had larger donor pools. Fewer donors and prospects available to the fundraiser in the academic library present a significant challenge to success. Research on giving demonstrates that meaningful bonds with the institution are a key factor in giving (Brown & Ferris, 2007).

Information about the Fundraiser

Seventy-four percent of respondents reported that their academic library has a dedicated fundraiser, 19% reported that it does not, and 7% reported “other.” [See Figure 2.] The 2018 ARL fundraising survey found that 93% of its member libraries have a dedicated fundraiser (Keith et al). Compared to twenty-five years ago, this reflects significant change. Latour reported that 62% of academic libraries in his study had non-librarian staff devoted to fundraising, but this was only a part of their professional role. Most (45%) focused on fundraising for just a quarter of their work time (1995).

Figure 2: Fundraiser Dedicated to the Academic Library



Heyns (1994) was able to demonstrate that amount of staff time (FTE) was correlated with fundraising success. Her research showed that successful libraries had a higher FTE of staff in the library development office than the least successful libraries. The current study also asked about the level of staffing dedicated to fundraising in the academic library. The average staff time allocated to fundraising in the academic libraries represented in this study is an average of 1.6 FTE. The 1994 Heyns study was either 1.5 or 2.0 FTE depending on whether the university or the library funded the position. The most recent ARL fundraising survey reported an average of 2 FTE. This data demonstrates very little growth over time in the investment of fundraising staff. With a reported 175% increase in giving to higher education over the last thirty years, a history of low investment in staff emerges as another potential factor in that decline (Shaker & Borden, 2020). The 2016 Betzler & Gmur study discussed above includes dedicated staff as a factor in professional fundraising success.

Training has been demonstrated to be a factor in successful fundraising (Sargeant et al, 2018). Fifty-five percent of respondents reported that they had taken part in training on how to fundraise for the academic library. Forty-five percent reported that they had

not. In a follow-up question about the nature of that training, most reported that they had received training provided by their own institution or through library fundraising conference presentations or workshops. Other options not selected were a library-related association or organization, fundraising association and fundraising conference presentations or workshops.

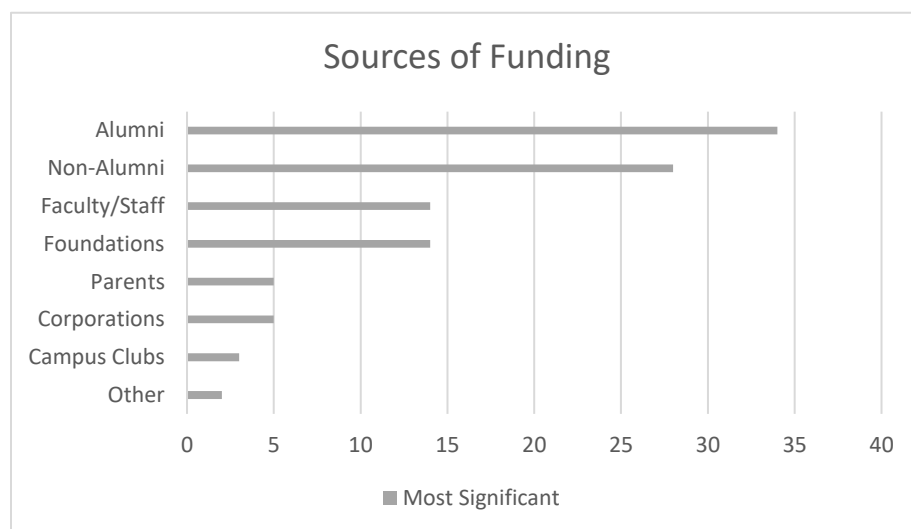
Fifty-two percent of respondents reported that they work from a formal fundraising plan and that this plan covers several years, and forty-eight percent responded that they have no plan at all. Only, fifty-seven percent reported that they set annual fundraising goals. Annual fundraising goals are the norm in higher education fundraising, so the response to this question was surprising and warrants further research. Why are only half of the fundraisers who responded to this question not measured on success?

Academic Library Donors

Another set of questions sought to determine the most common sources of funding in the library. Respondents were asked to rank seven sources of giving from most common to least. Alumni ranked the highest followed closely by non-alumni. Faculty/staff and foundations ranked equally as around half as significant as alumni and non-alumni. The remaining options, corporate giving, parents of students, campus clubs and organizations were reported as uncommon sources of funding. [See Figure 3.] When asked to list the importance of these sources for funding, respondents listed the importance in the same order. Half the respondents reported that campus clubs and organizations were not at all important for securing funding for the library. In contrast to a typical academic unit, respondents representing the library reported that alumni and non-alumni were almost equally important. Non-alumni donors have been shown to be a

strong prospect for giving to academic libraries, particularly for archives and special collections where the motivation for giving is aligned with the collection instead of the institution (Dilworth & Henzl, 2016). In contrast, Latour (1995) identified foundation grants as most significant with major gifts far behind. An apparent decline in foundation giving is another area for further research to determine if it is the result of reduced funding to support academic libraries over the last twenty-five years or fewer grant applications submitted by fundraisers in academic libraries.

Figure 3: Sources of Funding



Role of Academic Library Dean/Director in Fundraising

Regarding the academic library dean's/director's involvement in fundraising, every respondent reported that deans/directors are very involved, and that fundraising is a high priority for them. Respondents were asked to select fundraising activities most common for deans/directors and selected "communicate the funding needs of the library." Soliciting gifts is the second most common fundraising activity and many also selected "other." Examples given are diverse, including signing acknowledgement letters, hosting donors at events, and travelling for donor visits.

Role of Volunteers in Fundraising

A current trend in higher education and academic libraries is an advisory council composed of alumni and friends representing a variety of groups, professions, and perspectives. These volunteer committees support the academic library dean/director in a variety of ways often including a commitment to annual giving to the library. Forty-five percent of respondents reported that their library has an advisory council, but very few reported that this board performed volunteer work for the library (10%). The most common roles reported for the advisory council are promoting library goals (31%), assisting in fundraising (26%), and advising the dean/director (26%). Ten percent who responded “other” include identifying prospective donors, stewardship activity and learning more about the library.

The survey also asked about the role of Friends of the Library groups in support of fundraising. Twenty-nine percent of the respondents reported that they currently have a Friends group, but 71% said they did not. However, of the ones that do not have a Friends group, 63% reported that they had one in the past while 37% reported never having had one. Reasons for no longer having a Friends group after having one in the past included comments that membership and activity had declined, that the program had been re-envisioned, and that the return on investment was too low to maintain it. Fifteen percent of the respondents reported that their Friends group is very active. Activities reported for the very active Friends groups include assisting with programming and fundraising.

Others involved in Fundraising

When given the opportunity to rate the effectiveness of various groups in raising philanthropic support for the library by ranking, the development officer and academic library dean/director were selected by 90% of respondents. The next most selected group is the university development unit at 65%, the president of the university at 40% and non-alumni friends at 38%. The university development unit is reported as effective or somewhat effective by 65%, the president of the university by 40% and non-alumni friends by 38% of respondents. Other options offered that were not reported to have a significant role in fundraising include faculty/staff, parents, alumni, Friends of the Library groups, and library development committees.

Structure of University Development Unit

University development units utilize several organizational models. A centralized model is one in which all staff associated with fundraising are part of the university development unit. A decentralized model is when individual units on campus have their own staff facilitating fundraising. There are many examples, however, of mixed models. In these cases, fundraising staff may have offices in the academic library, for example, but be paid and managed by the university development unit. In other circumstances, an academic library dean may employ and supervise a fundraiser but solicit input from fundraising supervisors in the university development unit to manage and assess them. In this study, 64% of respondents report that the academic library fundraiser resides in the academic library. Thirty-six percent reported that their institution utilizes a centralized structure and fundraisers for the academic library work in university development unit offices. Of the fundraisers embedded in the academic library, 26% reported that their

university development unit model is decentralized with the various units supporting their own fundraising effort and 38% reported a mixed model with a central, supporting university development unit with fundraisers embedded in the unit they support. With such a range of scenarios, further research comparing the efficacy of the various models for fundraising success would be meaningful.

Institutional Support for Academic Libraries

Half of the institutions that responded to questions about the role of university leadership in library fundraising report that presidents have a small role in assisting with academic library fundraising, and only 15% report they take a very active role. Those who offer examples of the nature of support from leadership report written support, policies that ensure that the academic library benefits from all fundraising efforts and, the most common, that leadership provides donor or prospective donor engagement to encourage giving. Another example given is that university leadership promotes academic library fundraising initiatives at university events.

Analysis and Discussion

The academic library is the only higher education giving opportunity that is becoming less popular to donors – particularly in the past ten years. Giving to academic libraries climbed at a slower rate over the first twenty years analyzed in the Shaker & Borden study than all the other units that fundraise in higher education, and ten years ago it became the only unit to begin declining. Over the last ten years, its decline has increased (Shaker & Borden, 2020). This study reveals some possible explanations.

Cases for Giving

The focus on fundraising for general expenses could be a significant factor in a decline in fundraising success in the academic library as higher education donors have demonstrated a dramatic increase in giving for research, academic needs and student support, academic libraries have prioritized discretionary funding over opportunities that could appeal more strongly to donors. Opportunities for giving should be aligned with the most popular giving behavior exhibited by donors to the institution. Certainly, all campus leaders prefer that fundraising income be free to use, as necessary. However, evidence in the Shaker & Borden study shows donors have demonstrated a growing preference for restrictive giving models over the last thirty years, so prioritizing discretionary funding is unwise. Even student support is not as popular as giving to support research and academic programs. Aligning cases for giving in the academic library with giving trends is crucial to successful fundraising. The Dilworth & Henzl (2016) book provides guidance on how to align funding needs in the academic library with models that higher education donors prefer to support.

Access to Alumni

One of the most common explanations for difficulty achieving successful fundraising in the academic library is that alumni of the university are aligned with their college of graduation, and fundraisers in the academic library are not given access to them. This study suggests it has not improved and may have become an even bigger challenge. This condition creates a significant barrier to fundraising success. Because decisions about alumni access are based in university development units, future research

needs to delve into the practices in these units and the perceptions of its leadership on the value of academic libraries fundraising.

Investment in Fundraising

For fundraising to be successful in the academic library, investment in fundraising must increase. This includes investment in staff to facilitate fundraising activities, training specific to the academic library and advocacy for access to alumni. Data from this study reveals that even as fundraising has become more challenging over time, the investment in fundraising staff has grown very little. The result is that academic libraries have suffered a decline in support. The fundraiser cannot manage up through the university development unit to reverse these conditions that have contributed to this decline. Change will require the academic library dean/director to advocate for needed change and increased support by leadership in university development whichever organizational model they employ. In a decentralized model, for example, when the academic library dean/director funds the fundraiser's position, access to alumni remains the purview of the university development unit. These leaders in the institution's fundraising program require cultivation – much like a donor - to support the academic library. Until equity of opportunity and investment are achieved by fundraising staff in the academic library, donors will continue to miss out on this gratifying opportunity for giving, and academic libraries will continue to struggle to raise valuable income and cultivate donors to support and champion its mission.

Chapter 3 – Social Capital in Academic Libraries: A Model for Successful Fundraising

Development of New Fundraising Model

As an independent researcher, I bridged research in philanthropic studies and social capital to set a foundation from which to build a new fundraising strategy. The Social Capital Fundraising Model proposes that fundraising strategy grounded in the Theory of Social Capital will result in the retention of donors and the likelihood that their giving will increase (Brown & Ferris, 2007).

This study has been accepted for publication by the editors of the upcoming book entitled *The Social Future of Academic Libraries: New Perspectives on Communities, Networks, and Engagement* (Slack, T., Bracke, P., & Corral, S., eds.) to be published by Facet Publishing.

Case Selection

This study does not include human subjects. It is comprised of a literature review of philanthropy and social capital research and the development of a new fundraising model.

Data Collection

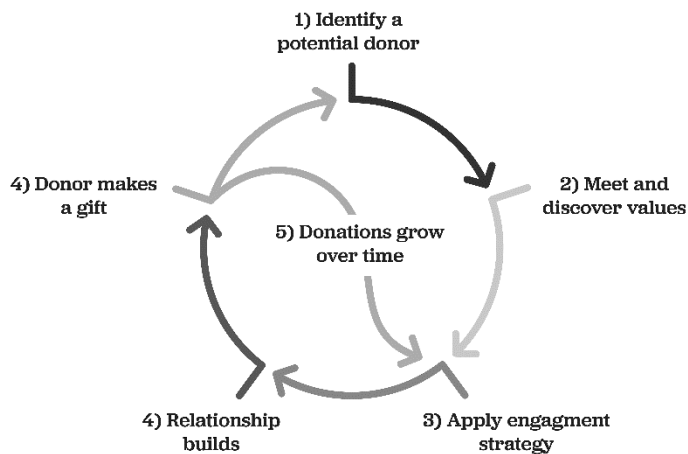
Neither quantitative nor qualitative data were selected for this project. Existing research of related to fundraising and social capital was bridged to develop a new fundraising model.

The Social Capital Fundraising Model

The Social Capital Fundraising Model is a fundraising model in which the building of social capital is a strategic goal grounding the fundraising process from

identification to stewardship. Philanthropy research provides evidence that by building the donors' social capital through their giving they will not only continue to give but will give more. Figure 4 below demonstrates how once fundraisers identify potential donors, get to know them, and facilitate an engagement strategy based on their values and interests that results in a gift, if that relationship continues to be nurtured, the donors will enter a cycle of continued and increasing giving.

Figure 4: The Social Capital Fundraising Model



Analysis Approach

- Literature review and analysis
- Grounded theory utilized to derive a general theory of practice

Introduction

The social future of libraries needs funding, and libraries need to fundraise. At a time when libraries struggle to connect their value to important stakeholders, fundraising is a vehicle for building strong relationships based upon understanding and appreciation. Cases for giving are cases for relevance. The donor cultivation process includes the development and exchange of social capital between an individual and a fundraiser. Social Capital is both the social network that evolves through an individual's connections and the tangible outcomes of those connections (Putnam, 2000). Connections between donors and the library engage individuals with the mission. A donation to the library is an expression of perceived value.

The Social Capital Fundraising Model is not new, but as of this moment, it has a name. The model is already utilized across the nonprofit sector, whether practitioners realize it or not. Building connections and relationships is fundamental to fundraising. The point of this chapter and the reason for its new name are to explain why it works and argue that its core element (social capital) needs to be better understood and leveraged intentionally. By implementing a fundraising strategy that is designed to support and expand the social capital of others, fundraising activity will be more efficient and have better outcomes (Brown & Ferris, 2007). The social capital that the library itself builds through this informed practice will support and expand the impact of fundraising.

There is never enough funding, and often the exciting projects are the ones that get put on the back burner so the costs of basic resources can be met. Philanthropic funding is an important and often transformative mechanism for not only filling in the gaps in funding but for supporting the most exciting ideas, innovations and initiatives.

These funds come from private sources from individuals and philanthropic organizations. Unfortunately, recent studies on fundraising in the academic library reveal that while needs and expectations for raising private funds have gone up in the last 20 years, the resources required to fundraise have remained the same (Keith et al 2018).

This chapter will make a case for more support and encourage academic library leaders that the effort to get more support is worth it. To that end, the chapter will integrate philanthropy research on giving with academic libraries, provide helpful information about fundraising in higher education and talk about the benefits of fundraising for the library that go beyond the dollars. The Social Capital Fundraising Model builds stronger and more meaningful connections with individuals who are able to give to the library, and it increases the reputation and value of the library.

Finally, because so little scholarship exists on fundraising for the academic library, this work adds to this literature on the topic. It also brings the academic library into philanthropy literature, which is an area of tremendous growth in recent years. My intent is that this piece will serve as evidence for higher education development programs to invest more in academic library fundraising recognizing it as a viable case for giving to higher education donors. I also hope that it encourages library leaders, staff and faculty to embrace fundraising. In order to fulfill the promise of the social future of libraries, the library must turn outward beyond campus and its users and engage with individuals and entities that can be partners in that future.

Many academic libraries enjoy successful fundraising. There are more, however, that struggle (Keith et al 2018). During the past two years conducting a study with a colleague on the changing practice of fundraising in academic libraries, I heard many

challenges that fundraisers face to successfully navigate the process and meet expectations and needs for funding. I have had calls from deans who are frustrated that central development will hardly listen to their claim that the library is a viable fundraising unit. Many libraries lack fundraising support at all. Through the discussion of a fundraising model built upon social capital, I will describe this fundraising process, provide insight into the fundraiser's experience and demonstrate how fundraising in this way not only brings in funds but creates a culture of philanthropy.

The Challenges for Fundraising in Academic Libraries

Central development units across higher education routinely assign prospective donors to the colleges from which they took their degree. This practice is the fundamental barrier to successful fundraising in the academic library. In fact, the phrase “no natural constituents” is in virtually every publication about fundraising in the academic library, including my own (Dilworth & Henzl 2016). The alumni model is an efficient way to organize a very big job. Many universities have hundreds of thousands of living alumni and grouping them according to their college of graduation helps organize a lot of individuals and anticipates what they may like to support. In addition to presenting a fundraising challenge for all campus units that do not confer a degree (like the academic library), makes it less likely for alumni to hear about other interesting things to support at the university. A 2015 study of 20 years of giving to a university revealed that providing donors the opportunity to give across campus increased their likelihood of making a major gift to the university, increased the amount they gave compared to those who only gave to a single unit and reduced the likelihood that their giving would go down in difficult economic times (Khodakarami et al 2015). When prospective donors never hear

from the library, they do not know or learn about opportunities to support it, which represents a lost opportunity for the donor and the institution. The scoped communication to donors managed and cultivated solely by their academic college makes it difficult for the library to communicate their value broadly.

Thus, prospective donors lack knowledge about how the library supports learning and research at the institution. In the traditional higher education fundraising model, when library fundraiser do have the opportunity to engage alumni, they have the additional challenge of educating the potential donor on the value of the library and its cases for giving before cultivation can even begin. Gaining access to potential donors is a crucial step in successful fundraising. There are many creative ways that fundraisers in academic libraries navigate this challenge. That issue will be discussed at greater length in the larger project on this topic, but this chapter focuses on how to take advantage of opportunities libraries do have and how to grow and strengthen that engagement.

It might come as a surprise to learn that fundraising for higher education occurs mostly with donors who are not alumni. Of the total fundraising to support education in the United States last year, 70% went to institutions of higher learning. However, only 26% of those funds came from alumni (White, 2018). Another reality is that academic units have thousands of alumni who are not managed by fundraisers and available for the library to cultivate. Even the large development units in big research institutions lack the capacity to reach more than a small fraction of their constituency. Libraries can also collaborate with academic units on proposals for their graduates. In a sense, libraries do have alumni in the form of retired and former faculty, staff and student workers who already know the value of the library.

Individuals who are already in the library need to be aware that it functions in part due to private giving and that there are many opportunities for people to support the funding needs of the library. This group includes individuals on both sides of the service scenario. Faculty and staff need to be aware of collections and programs that are donor funded so they can communicate this information. Cultivation through student and faculty is a long game but beginning the process in that engagement is crucial to future success. The best time to help users understand how philanthropy functions in the library is yesterday. And, as we will discuss next, individuals are very open to hear about giving back to the library when they are benefiting from it. Also, by involving faculty and staff in the fundraising process, they can assist the fundraiser in identifying prospective donors with whom they already engage through their user service. A common example of this scenario is archivists who accept archival collections from university alumni or retired faculty.

Library service builds social capital for the library user. Resources and services from the library provide the user with benefits that, much like financial capital, can be spent, invested, given away, and/or shared to enhance the life of the individual and others in their network. These benefits include information, knowledge, and spaces to study and gather. I once received a gift from an alumnus because he was grateful for being able to sleep at the 24/7 library on campus during a year where he had terrible roommates. The fundraising model based on cultivating alumni is not going to change in higher education because it works so well for the academic units. But the library can still be successful if they embrace a fundraising model that expands the social capital of the donors they already have. This approach can result in strong, sustained fundraising success.

Relationship-building strategies that build social capital for donors and prospective donors connect the library to donors in a meaningful way and tie them into the donor's network as well. The larger the network and the stronger the connections within that network to the library, the more the library's social capital will also grow (Strauss, 2011). A library with strong social capital has a greater likelihood of receiving philanthropic support.

What is Social Capital?

Social Capital is really having a moment. Google Analytics suggests it hardly existed before 1990, but since then it has exploded in both academic and public scholarship and across disciplines (Google Books Ngram Viewer, n.d.). Much of the credit goes to Robert Putnam, whose best-selling book, *Bowling Alone, The Collapse and Revival of American Community*, confirmed the fears of many working in the nonprofit sector: individual engagement with groups and associations is waning. When Putnam pointed this out to the world in 2000, the nonprofit sector scrambled to respond. Scholars started looking at how social capital influenced behavior. In the field of philanthropy, this examination included charitable giving. It became clear in this research that social capital and giving are strongly linked. The evolution of the definition of social capital resembles the process of building it. Social capital starts with the network and builds in complexity. Early scholarship defines social capital as simply the networks that allow for certain actions by individuals in the structure (Coleman, 1988). Fukuyama's work built upon this idea to include the norms that develop on these networks (1999). Putnam was developing his theory at the same time and ended up differentiating between two kinds of connections in the network: bridging and bonding. The bonded connections, he said, were

between similar kinds of people. These connections held up well to external forces, but also put individuals at risk for clannish ideologies. Bridged connections are those made between people who have differences. These are not as strong as bonds, but they bring diverse ideas, perspectives and cultural norms into the network (2000). Another scholar whose addition to the definition is important for this discussion suggests that the benefits that result from high social capital are also a fundamental part of its definition (Portes, 1998).

The benefits are an important piece for the field of philanthropy, where research had already shown that the benefits of volunteering and giving are strong motivators for giving. In a study that first identified the most common motivation for giving, Schervish and Havens demonstrated that self-serving motivations were actually greater than altruistic ones. They were not suggesting that donors give for selfish reasons, necessarily, but that donors are more motivated when giving is not just a cost but, in addition, provides a benefit (1997). Before we get stuck on the term “benefit,” consider Simmons, who pointed out that acts taken in the service of others are still something to admire even when “subtle self-rewards” might have encouraged them to do so (1991).

The academic library has many benefits to offer donors. Examples include information, knowledge, friendship, an opportunity to meet others with affinity for the library, or simply a good feeling for doing something good. However, in recent interviews with library fundraisers discussing social capital, it became apparent that the term “benefit” has strongly negative connotations. The Social Capital Fundraising Model is not meant to encourage benefits that undermine the mission of the library. Thankfully, higher education fundraising has developed ethics of practice through their professional

associations. These practices can be a guide for defining the parameters of ethical benefits. In her book on the ethics of fundraising, philosopher Marilyn Fischer examines and sets standards for decision-making on all matters of practice, from relationships with donors to organizational mission and trust (2000).

Part of the challenge in agreeing on a definition of the term “social capital” is related to its broad application. For this discussion, I define it in two parts: The first is the network created by bonding and bridging connections. The second is the benefits that accrue from those connections. Brown and Ferris explain the impact of social capital on philanthropy in terms of the “norms of trust and reciprocity that facilitate collective action” (2007, p. 86). An individual can increase and decrease his or her social capital, spend it, save it or use it to build the social capital of others. For example, having connections with others who are well-regarded and having a positive reputation can increase an individual’s social capital. Not surprisingly, donating money to organizations that help others can increase an individual’s social capital (Putnam, 2000). Organizations can also build their social capital through activities that support their mission, including fundraising (King, 2004). Fundraising is particularly meaningful for building organizational social capital because it is a way to connect to individuals who have positive reputations, which is one of the most meaningful kinds of social connections for building social capital (Strauss, 2011). For the academic library, intentionally leveraging social capital with its network is a strategy to expand its reach and build the kinds of connections that support giving.

Impact of Social Capital on Fundraising

Social capital matters in fundraising because individuals with high social capital have been shown to donate more than others (Brown & Ferris, 2007). Therefore, donors who are already giving are the best prospects for future giving. Another study finds that reputation and peer recognition are “social consequences” of giving and actually encourage more giving (Bekkers & Wiepking, 2011). Supporting the social capital of a donor by stewarding their giving makes it much more likely that they will give again. Rather than spend the majority of time discovering new donors, the academic library is better off providing meaningful engagement with individuals who are already giving something, even if it is their time (Wang et al., 2008). This is also why staff and faculty are so valuable to the fundraising effort; they are often the ones who engage with potential donors first. A meaningful engagement is a strong foundation for future giving.

In a study by Kearns et al., the researchers interviewed nonprofit leaders to determine the kind of funding most often preferred. They overwhelmingly reported they prefer gifts that motivate more giving (2014). More giving can take the form of a donor whose giving becomes larger or repetitive, a new donor who gives because of the example of an individual in their social network, or a foundation that renews grants because of the positive impact of previous funding. In each of these examples there is an exchange of social capital. Fundraising training in donor relations and stewardship describes the value of a positive giving experience as part of a process in the donor continuum. Though the term “social capital” is not used in this description, they acknowledge the phenomenon that if donors experience a meaningful engagement following their gift, the likelihood is very high that they will stay engaged.

There are also strong measurements that show that the cost of finding a donor is much less than properly stewarding one you already have (McGrath, 1997). Fundraisers want to cultivate life-long donors. Brown and Ferris determined that the “network-based social capital” is a key indicator for a donor’s likelihood to give (2007). This evidence is strong support for a strategy to connect the library with the social networks of current donors and contribute to the social capital of prospective donors because their robust social networks are made up of individuals who are likely to participate in philanthropy.

Beyond the idea that individuals with strong social capital are likely connected with individuals who give, a study by Herzog & Yang (2018) on how social capital relates to fundraising discovered that having an individual who asks for donations on a social network is also a powerful motivator to give. They explain, “Both having a giver and an asker in one’s social network increase the likelihood that one participates in charitable giving”, (p. 390). This finding explains the common question and answer posed to fundraisers in training seminars: “What is the main reason that people do not give?” The answer: “They have not been asked.” The academic library is in a strong position to successfully fundraise by creating and leveraging social capital.

There are many entry points to potential donors. Special and discipline-specific collections are entry points to connect to someone’s social network through a specific interest. Initiatives can connect to prospective donors whose values and interests align. Cases for giving around open access, scholarly publishing, digital scholarship, information literacy, informed learning, equal access to information and the application of emerging technologies to teaching and learning are all entry points for connection. There are potential donors far beyond the institution who have great passions for the

examples above and many more. Giving to the library can be mutually beneficial when library resources and services align with the personal passions of individuals with robust social networks and high social capital.

The social capital phenomenon in the fundraising process requires a highly skilled fundraising practice that includes at the very least a professional fundraising staff, a long-term fundraising strategy, and a strong narrative about the value of the library. This kind of investment is costly and requires a team of professionals with diverse skills.

Professional practice is not the same as transactional giving, and transactional giving does not strongly impact social capital. Professional practice includes fundraising that offers individuals an opportunity to do something meaningful for the library and the individual. Hank Rosso, the Founding Director at the Fund Raising School at Indiana University, describes fundraising as, "...the gentle art of teaching the joy of giving," (Rosso, 1991, p. 88). Research on giving shows that everyone involved in fundraising can benefit from the positive experience of contributing to a meaningful mission (Anik et al 2009). In the United States, over half of the households give to philanthropic organizations. The average amount given is over \$2,500 per household, with \$900 being the median amount. As individuals get older, the percentage of giving households rises. By age 65, nearly 75% of households give (Ottoni-Wilhelm et al., 2014). This is a remarkable reality and a strong indicator that the library has strong opportunities to enjoy successful donor engagement and fundraising. The mission of libraries to support teaching, learning and research is a very attractive philanthropic priority for a wide range of individuals and philanthropic organizations.

In order to fully leverage the Social Capital Fundraising Model, the library needs a fundraising team. Social capital is not built simply because there is a connection. That connection has to be developed in such a way that trust forms and reciprocal benefits are created (Putnam, 2000). Forming trust requires more than one person. Unfortunately, recent surveys reveal that if an academic library has fundraising staff at all, it is usually only a single individual (Keith et al 2018). Some libraries share one fundraiser with other units, but many do not have one at all. In a recent survey to show change over a 25-year period, Heyns and Dilworth discovered that while fundraising needs have increased, the investment in fundraising in the form of staff had remained very much the same (2020). One fundraiser for the library is simply not enough to facilitate a social capital model for fundraising or any other fundraising model. The four stages of fundraising below require time, skill and talent that a single person cannot possibly provide. Each stage requires unique skills.

The following is the authors summary of *The Eight Step Major Gift Management Cycle (The Fund Raising School, 2016)* taught at The Fund Raising School at the Lilly Family School of Philanthropy at Indiana University:

-Identification - This stage includes research and evaluation of prospective donors who have the inclination and wealth capacity to make a major gift. From this research comes the creation of a list of prospective donors. The identification stage is typically the first time a fundraiser engages with a prospect. Professionals required for this stage are the fundraiser, prospect researcher, data manager and support staff to assist with visits, travel and reporting.

-Cultivation - This stage is when cases for giving to the library are developed with library leadership, faculty and staff to define and prioritize needs and opportunities for philanthropic support. It is when giving opportunities are discussed with prospective donors to determine the appropriate focus, amount and build interest. Cultivation is when relationship building occurs. Professionals required for this stage are the fundraiser, library dean in some cases or faculty, communications staff for building collateral around opportunities to give, and staff to support travel and reporting.

-Solicitation – Solicitation is “the ask,” and it can take years to get to this stage. Proposals are written, and those who will make the solicitation plan and rehearse. The fundraiser will be at this important meeting and often the library dean. Other professionals required for this stage are gift services staff who book the gift in the institution’s financial system. Often managers in central development are crucial for collaboration and oversight to ensure proposals meet the institution’s policies and best practice.

-Stewardship – This stage includes IRS processes for reporting a gift. The donor is acknowledged during this phase and provided with tax documentation. Often visits with the fundraiser continue in order to maintain the relationship with the donor and prepare them for the next cultivation phase. University-wide events, access to key leaders, and strategic volunteer opportunities help maintain and grow the relationship.

Professionals needed in this stage include the fundraiser, dean, strategic staff and faculty and central development leadership to assist with important tasks like building a new strategy for the next cultivation cycle, annual financial reporting for endowments from finance specialists and data management.

Robert Putnam's definition of social capital as a network that provides benefits is particularly poignant when thinking about the process of engaging donors, building relationships with them, asking them for support, walking them through the process of making a gift and maintaining long-term relationships with them. He identified two types of social capital: bonding and bridging. He theorized that bonding is the kind of social capital that forms between similar people or groups (Putnam, 2000). A family is a good example of bonding as well as a religious community. Those who share bonding connections share similarities, and these bonds are extremely strong. An example of a bonding connection for library fundraising is a retired faculty member setting funds aside in a bequest to benefit student workers. The social capital created between the library faculty member, for example, and the library is based on a similar passion for academic libraries and strong affection for the one where he or she enjoyed a meaningful career.

The other kind of connection is bridging capital. These are the bonds across difference. Bridging bonds are easily broken, unfortunately, because they are made between people who do not share similarities (Putnam, 2000). However, they are valuable because they support diversity and give voice to more ideologies and ideas. A bridging bond is a graduate whose bond is with his or her department but who has come to appreciate the fact that making a gift to library resources is a valuable way to support

his or her department. This connection is not strong like the first example, but it is a valuable gift and an opportunity for the library to become a part of a very different social network than the one the graduate shared with the faculty member.

The words bonding and bridging are also commonly used in fundraising. Fundraisers talk about bridging people to a mission or a particular case for giving. A prospective donor can become bonded to the fundraiser, others engaged in the process and the organization itself, through fundraising. These bonds are built by engaging the interests and philanthropic goals of the prospective donor with the organization. The bonds are held together through trust and authentic relationships between the donor, individuals in the library and the library itself. Bonds are made stronger between the library and the donors when the donors can see the impact of their gifts. The process of fundraising is a mechanism that can transform a bridging connection to a bonding one. An interest in a giving opportunity can grow into a passion for the library and its mission with skillful fundraising practice. Many who have been a part of this transformation can attest to that phenomenon. Increased affinity over time that a donor is engaged with individuals connected to places they support is part of why giving motivates more and increased giving. On the other hand, failing to do so can result in a donor deciding not to continue to give.

This new model of building social capital to support fundraising for the library begins with a recognition and acknowledgment that the library's social capital enables fundraising. Fundraising success will not, in fact, happen without it. Social capital built through fundraising not only facilitates giving to the library but also creates a cycle of giving. Each engagement connects the social capital of the library to others, and in turn

the library is connected to the individual's network. Building the social capital of the library happens with intention. A simple way to begin is by investing time and attention on the donors who are already bonded to the library. If they already love the library, they are more likely to consider further support. Even if an existing donor lacks a strong personal social network, the story of that donor and that connection can attract more donors.

Another priority should be discovering the nature of the library's social capital. Who is already a part of the library's social network? How can this network be leveraged to support fundraising? An example is a research collection that is unique, popular, trendy or relevant to current social or political activities. There may be no researchers in a position to financially support this collection, but who are they writing for? Who is their audience? Who already supports the kinds of research that utilizes this collection? Thinking more broadly in this way with social capital as a driver for strategies can identify potential donors never considered before. The library also can make progress building its social capital and networks by helping donors and prospective donors build theirs. Even individuals who do not know about social capital instinctively want to build it.

Fundraising requires investment. It takes a lot of time, collaboration and information to identify and cultivate donors. This process needs to be successful in order to ensure the future of academic libraries. That means more than simply survival. The activities connected to fundraising must also be mastered to ensure the innovation of the future. Connecting to social networks and realizing the mutual benefits that come from those connections improve the overall success of the library. This model of engagement

can positively impact service, collaborations, and the reputation for the library and those connected with it.

Enacting this model can be expensive, but a collective effort has the capacity to achieve high social capital for the library across the full range of efforts and initiatives. However, a single fundraiser is not going to have any more success achieving this outcome. Turnover of fundraisers in higher education is extremely high. A recent survey of over 1,000 fundraisers in North America by the Chronicle of Philanthropy (Joslyn, 2019) revealed that half the fundraisers surveyed intend to leave their current position in under two years (p. 8). Some of the reasons for this turnover include high pressure to succeed, a perceived lack of appreciation of their efforts and value, and not enough help to do their job (9,10). Fundraisers do not want to be in a situation where they cannot be successful. One of the challenges is due to the common assessment model which only includes quantitative measures around fundraising outcomes and specific activities like visiting with donors and presenting them with a funding proposal. It does not include all the strategy and activities required to build a relationship with a donor that can result in a gift being made. The result is either poorly engaged donors or a fundraiser who feels rushed to take steps they are not ready to make with a donor. Fundraisers who took part in this survey overwhelmingly (93 percent) reported that they could not work for an organization if they did not believe in its cause (11). However, a fundraiser who cannot meet and exceed fundraising goals will not stay with an organization. With a mission-driven passion for their professional work, it makes sense that of those who leave, they most often cite a feeling of betrayal when an organization makes it impossible for them to succeed (10).

Culture of Philanthropy in the Library

The work of building social capital begins on the inside by building a culture of philanthropy. This culture is achieved by treating employees as if they are potential donors. Cultivating a positive environment for faculty and staff, anticipating their needs, connecting them to potential colleagues and friends in the organization and cultivating their passion for their work are examples of ways to create connections that are meaningful and mutually beneficial. A culture of philanthropy sets a tone for compassionate, professional treatment of faculty and staff to each other. Thinking of users as potential donors positively influences service. The benefits of this approach to the library take the form of commitment to mission, long and valuable service and maybe one day even giving.

Fundraisers in the academic library are often new to the library and need to develop an understanding of how the library contributes to the success of the institution. Fundraisers should, therefore, be embraced and taught about the library. The fundraisers' lack of awareness about the library reflects the condition they face with potential donors. The faster they get up to speed on what a modern academic library does, the sooner they can develop cases for giving to present to potential donors.

Another important way to create a culture of philanthropy in the library is by engaging faculty and staff in the fundraising process. For giving opportunities that support research or teaching, faculty could, for example, be part of the cultivation process by joining donor meetings to talk about their work and its impact on student success. All faculty and staff can be a part of helping fundraisers demonstrate the impact of giving to

existing donors through their participation in events and the effort to make donors feel they are part of the library.

Individuals give to organizations because they want to do something good, help solve problems or contribute to something significant. It is often crucial for them to get to know the ones who are facilitating all the good things that the fundraiser is telling them about. Bridging and bonding with someone from the outside to the mission of the library is powerful. And, of course, landing major gifts can be transformative. Inviting and including library faculty and staff to be a part of this process will bond them to the mission as well, expand their social network and positively impact their social capital.

Conclusion

One of the goals of this chapter is to encourage and empower the library to take a new approach to fundraising. The alumni model is never going to go away in higher education because it works so well for the degree-granting units. However, this gives the academic library an opportunity to demonstrate the efficacy of a new approach to fundraising. The Social Capital Fundraising Model can begin with existing staff, but it cannot reach its true potential with a single fundraiser. This model is, in fact, intended to provide evidence that more resources for fundraising are required and will pay off. Poor fundraising performance in the library is not about a lack of compelling giving opportunities; it is about a lack of resources.

When it comes to building social capital with donors to the library, success breeds more success. Activities related to fundraising can also build the social capital of the library, which increases the likelihood that giving will increase. A long-term strategy to build the social capital of the library will result in successful fundraising. The future of

the library will be leveraged on social capital built across all relationships. Donors can play a big part in this future helping the library achieve dreams and goals that expand its capacity to facilitate the mission of the library.

Chapter 4 – The Social Capital Fundraising Model: Stakeholder Feedback

Thirty-two interviews were conducted between the summer of 2019 and spring of 2020, with academic library fundraisers, academic library deans/directors and university development leaders. I leveraged my professional networks in academic libraries and higher education development to identify and solicit participants. I reached out to individual to ask for their permission with a focus on representing a variety of organizational sizes and structures. I also avoided interviewing more than one individual from any given university, though that did occur on two occasions. Questions were asked regarding the challenge to successful fundraising in the academic library and feedback on The Social Capital Fundraising Model. Interview questions were standardized, consent was received, and all data have been stored securely.

It has been well-established through quantitative studies that fundraisers in academic libraries struggle to achieve the level of success of their colleagues in degree-granting units. This study collects more data about these challenges. Information collected from the three groups reveals crucial differences in perspectives of fundraising challenges and ideas about how to achieve success between the three groups.

Using thematic coding on terms and phrases, I analyzed data collected in the interviews. A narrative research model was utilized to explore and conceptualize human experience in textual form (Cresswell, 2014). The discussion was grounded in Narrative Identity Theory to explain internalized, evolving, and integrative experiences of the individual interviewees (Butina, 2015).

Introduction

In many ways, the history of the United States cannot be told without including philanthropy. As the government and corporate sectors evolved, so did philanthropy alongside them. Today, the U.S. is considered the model for the third sector (Friedman & McGarvie, 2003). At a scale beyond that of any other country, the American integration of philanthropy as a viable third sector has filled the gap to embrace the disenfranchised and the powerless and to protect the values and initiatives that struggle for viability in the other sectors. Acts of charity, fighting for a cause and promoting societal values are embraced as acts of citizenship. Philanthropy responds to need, emergencies, desires, and faith, among other things.

As an evolved practice, philanthropy has created a nonprofit sector that serves the people and needs outside the scope of government and business. The mutually beneficial relationship among the three sectors is the foundation for civil society. Organizations in the nonprofit sector engage in fundraising to procure income necessary to meet their mission. This was an intentional design by leaders when the country was being formed. Early leaders saw philanthropy as an opportunity for citizens to participate in solving societal problems and take up a role in the advancement of civil society. Even in those early days, this private act for a public good, as Robert Payton describes philanthropy, was recognized as an American phenomenon (1988). When Alexis de Tocqueville famously studied American associations, he described the proliferation of volunteer activities as, “Self-interest rightly understood” (Tocqueville, 1835). The mutual benefit of building and edifying bonds within a network is what we understand, now, to be social capital.

Annual reports of fundraising activity can be deceiving, as levels have risen each year since the sudden decline in 2008, even as the number of individual donors has decreased. Economists acknowledge that the rise in giving has been the work of fewer donors. The current economic crisis will challenge fundraising even more for years to come. As the wealth gap has increased over this time, elite donors have increased their giving, but wealth is becoming concentrated in fewer individuals (Moody, 2019). A social-capital based donor engagement strategy is crucial to maintaining existing donors and attracting an ever-diminishing pool of future donors.

Social capital is not merely a social network. Understanding the full scope of social capital beyond a network and then leveraging it as a fundraising strategy is one solution to donor decline. Interviews in this study reveal a lack of awareness of the concept of social capital even though many of the individuals interviewed leverage it in their practice. To set the foundation for fundraising success in an environment where fewer donors are taking part in philanthropy, authentic, robust engagement is necessary for fundraising success. Social capital has been demonstrated to not only encourage a donor to give again but increase their giving (Brown & Ferris, 2007). More engaged donors giving more are vital to successful fundraising at this moment and into the future.

In the Dilworth Heyns study (2020) described in Chapter Two, fundraisers in academic libraries provided data on the professionalization of fundraising in this environment over the last 25 years. This study revealed that while fundraising expectations have grown and the practice has matured, investment in fundraising in the academic library remains low compared to other non-degree granting units. The study also shows that access to potential donors from university development units continues to

be a significant challenge to success. Chapter Three recommends that the strategic practice of strong, authentic donor engagement grounded in individualized efforts to contribute to a donor's social capital will result in successful fundraising and an expansion of the social capital of the academic library.

This chapter reviews information gathered through interviews with three groups connected to fundraising in the academic library. The first and largest group (20 interviewees) is academic library fundraisers. The goal is to understand more about the challenges reported in the Dilworth Heyns survey. Questions also investigate if fundraisers are unconsciously leveraging social capital in their fundraising activities. The second group, academic library deans/directors (seven interviewees), provides a different perspective on fundraising as leaders and information scientists who may have also served as librarians in their careers. Academic library deans/directors are typically the individuals who manage the fundraisers and define funding needs for the library.

Finally, a group of university development leaders (five interviewees) were included to better understand their perspective on the value of the academic library as a fundraising unit. As former fundraisers and now leaders of fundraising programs, their insight on The Social Capital Fundraising Model is particularly meaningful. This group is the most likely to anticipate the value of the model in higher education fundraising but also speak to the process and outcomes of integrating it into fundraising practice. University development leaders determine fundraising goals, methods of performance assessment and fundraising management. Without the input of academic library and fundraising leadership, this study would have lacked a crucial context.

Social capital is often leveraged unconsciously by fundraisers during the processes of gift cultivation and stewardship for giving. They are building the social capital of their donors without intending or recognizing it. Interviews in this study reveal that this innovation often emerges naturally and often, in the case of academic library fundraising, out of necessity. Fundraisers in the academic library are challenged with limited numbers of prospective donors and cases for giving that fail to resonate with donors. In higher education fundraising, the second-most popular outlet for philanthropic giving, behind religion and arguably the most professionalized for fundraising in the nonprofit sector, the academic library is the only area on campus that has experienced a decline in giving over the past ten years (Shaker & Borden, 2020). Through interviews with academic library fundraisers, academic library deans/directors and leaders in university development units, this study provides insight into the challenges academic library fundraisers face connecting donors to institutional missions. It also reveals the methods that fundraisers use to overcome these challenges. Faced with limited numbers of prospective donors, fundraisers in the academic library tend to focus more time and energy building strong, meaningful connections with the donors they already have.

Bridging Research to Practice

Fundraising publications and consultant blogs overflow with articles recommending the best response to emerging challenges in fundraising. In the field of higher education, these challenges are best summed up as dwindling numbers of individual donors (Giving USA, 2019) and high wealth donors waiting much later in life to make major gifts (Nonprofit Tech for Good, 2018). In the field of higher education fundraising, however, these warnings struggle to get attention as capital campaigns break

goals and expectations for annual fundraising totals grow higher and higher each year. The research on fundraising in the field of philanthropy seems to be informing some of the formal and informal publishing directed at fundraisers in publications like the *Chronicle of Philanthropy* and *Nonprofit Quarterly*. Unfortunately, references to the studies behind the commentary are often not cited. More research that demonstrates the full scope of fundraising activity, donor engagement and giving trends is vital to fundraising practice.

The Social Capital Fundraising Model supports meaningful, authentic donor engagement with the capacity to connect an institution or mission to core interests and values of individuals who want to participate in philanthropy. Through the interviews in this study, the concept of social capital and a social capital-based fundraising strategy were presented to fundraisers, university development leaders and library deans/directors. It is the hope that it serves as an example of the need to connect professionals with future research on their practices.

Social Capital – What it Means in this Study

Although research on social capital has increased tremendously since the publication of Putnam's *Bowling Alone: The Collapse and Revival of American Community* (2000), the definition of social capital continues to be debated. In the field of fundraising, the application of social capital-building to donor engagement is a method that enriches the giving experience creating a stronger relationship between a donor and fundraisers. External benefits of giving like human connection and expanded personal or professional opportunities are examples of how social capital can be developed and expanded through the fundraising process.

The benefits of social capital impact donors and the institution itself. However, the term “benefit” has a negative connotation for fundraising. Fundraisers are trained to avoid any indication that a donation facilitates a quid pro quo for the donor. In this study and The Social Capital Fundraising Model, the benefits of social capital refer to positive outcomes of authentic donor engagement. Examples of benefits include learning, connecting with peers, meeting diverse individuals beyond one’s social network, helping students succeed, and getting connected with university leaders. Because the use of the term “benefits” was problematic in early interviews for this study, the following definition using the term “goodwill,” preferred by Adler and Kwon, (2002), was adopted for use:

Social capital is the social network that emerges through bridges and bonds made between individuals. Social capital is also the goodwill that comes from those connections (p. 23).

On a similar note, the term “mutual reception” should also not be confused with unethical benefits donors receive because they make a gift. In this discussion, social capital provides benefits to individuals and institutions on each side of the relationship. Donors may benefit in ways discussed above, and those involved in the fundraising process can benefit from their relationship with the donor.

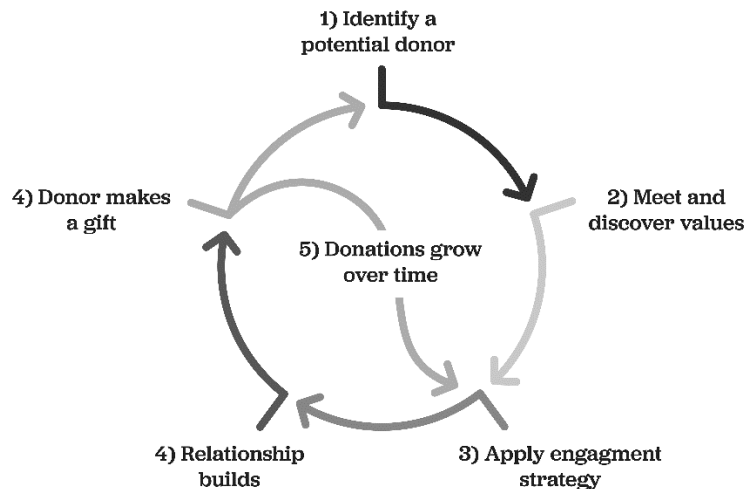
Ten years ago, Moody and Paxton discovered that research on social networks and social capital was not merging (Moody and Paxton 2009, 1491). This may explain the challenges that many interviewees had with the concept of social capital. Some interviewees expressed concern that building social capital among donors would result in elite groups and undermine efforts to build diversity and support inclusion. In fact, social capital is a balance between connections of sameness and difference. Putnam differentiates these connections as bridges and bonds. He explains that bonded networks

are strong because they are created through similarities between individuals or organizations. He warns, however, that on their own, networks made primarily of bonded connections can create clannish networks that can have negative outcomes. Bridging connections are between individuals who are different and provide the benefit of new ideas, perspectives, and voices (2000). Strong social capital should be understood and leveraged in fundraising to create a healthy balance between the two.

The Social Capital Fundraising Model

In *The Social Capital Fundraising Model*, the building of social capital is a strategic goal grounding the fundraising process from identification to stewardship. Philanthropy research provides evidence that by building the donors' social capital through their giving donors will not only continue to give but give more. Figure 5 demonstrates the engagement process for this model.

Figure 5: The Social Capital Fundraising Model



At first glance, this looks models like a traditional fundraising continuum. The difference is its focus on social capital as the ultimate goal throughout the six steps illustrated in this visualization.

1. Identify a potential donor
2. Meet with them – get to know their values and interests – at this point, the model is no different from how any major gift officer will work with a potential donor
3. (This is where this model innovates from the traditional fundraising model:)
 - a. The fundraiser identifies a good fit for the potential donor based on what the fundraiser has learned about the potential donor. The fundraiser has also determined the kind of engagement that has the likelihood to expand the social capital of the potential donor.
 - b. Examples of ways that the social capital of a donor can be expanded through their giving:
 - i. Other donors may be people this person would like to get to know.
 - ii. The project supports a larger aim, e.g., growing a field of research important to this donor, could be another way this donor supports a certain group or community
 - iii. Getting involved with this project can expand the donor's professional reputation

- iv. There are social benefits for the donor through a particular giving opportunity
- 4. The fundraiser should have latitude to take as much time as needed to strengthen the relationship and build trust with the potential donor. Trust is a major element in social capital-building. This stage provides the opportunity to learn more about what social capital means for a particular donor.
- 5. This stage is where the fundraiser makes a solicitation to fund a giving opportunity.
- 6. Accepting a solicitation is a point of connection between the donor and the fundraiser and a connection between the donor and the institution. It also connects the donor to other donors. This is a strategic time for focus even more intensely on social capital-building by positioning donors in ways that expand their networks and increase the benefits they gain through those networks. Make this relationship as valuable to donors as possible.

The fundraiser who successfully navigates this model will never have to start from step one again with this donor. Trust has been developed and sustained. In traditional models where fundraisers are measured on the number of donors they are cultivating, trust with existing donors can erode due to stretches of time without meaningful engagement. This model also connects the individual fundraiser to the donor's network. Through mutual benefit, the relationship grows stronger, and donors experience their giving as a partnership as their social capital is expanded through the experience.

Goals of the Study

- Encourage academic library fundraisers to ground their fundraising strategy in a conscious practice of engagement that expands the social capital of donors.
- Help academic library deans/directors understand the difference between donor engagement that educates donors on the value of the academic library and that which builds authentic, strong connections between the donor, the academic library mission, individuals in the academic library, and the academic library itself.
- Expand university development leaders' expectations of the academic library's potential for fundraising.
- Mitigate the concerns of university development leaders that successful fundraising in the academic library could mean decreased fundraising success in other units.
- Encourage university development leaders to train all fundraisers in higher education development units on The Social Capital Fundraising Model.

The Interviews

The population in this study consists primarily of higher education fundraisers working in the academic library. Twenty fundraisers working in this unique environment represent both public and private institutions from across the United States. Seven academic library deans/directors also brought their perspective to the challenge of fundraising and feedback on the new model. Finally, five university development leaders provide their unique feedback. There are three instances where two individuals from the same institution were interviewed. In two cases, the two individuals are not in a position

of direct supervision. In one case, an interviewee requested that I also interview their employee who also conducts research on this topic.

This study combines feedback from 32 higher education professionals representing 28 institutions. The institutions were selected to represent the different regions of the country, institution size and higher education model. For example, this study group includes large public and private research institutions, land grant universities, and small liberal arts colleges. Some institutions have robust fundraising programs in their academic library, while others have no formal fundraising in that area. With individuals representing fundraisers, library leaders and university development leaders, a variety of meaningful perspectives emerged. These included conflicting assumptions about the potential for fundraising success in the academic library, expectations of fundraisers, insight into campus perceptions about the viability of academic library fundraising, and feedback on the efficacy of the *Social Capital Fundraising Model*. In some cases, the three participant groups interpreted and perceived things very differently. These disparities provide important lessons for future collaboration and communication between the three groups, all of which depend on each other for their mutual success. The study collects success stories and fundraising strategies.

Everyone responded similarly to the first interview question: “What do you see at the most significant challenge to successful fundraising in the academic library?” Nearly every interviewee answered that the major challenge is a lack of alumni. This immediate, reactive response from all the fundraisers, academic library deans/directors and university development leadership is grounded in misinformation, yet the impact of it has very real outcomes for the academic library. According to statistics provided by The Council for

the Advancement and Support of Education (CASE), alumni contributed 26% of the total giving to higher education in 2018 (CASE, 2019). In comparison, over 18% came from individuals who are not alumni of the institution. For the major gift fundraiser in a non-degree-granting unit like the academic library, this revelation is crucial to consider when building fundraising strategy. The lack of alumni can be overcome by looking beyond this stakeholder group. The persistency of the “lack of a natural constituency” claim in the academic library not only restricts creative solutions but also creates bias about the potential for fundraising success.

Rationale

Activities that support fundraising can support a donor’s social capital. It has been demonstrated that social capital built through giving is a factor in a donor’s decision to continue to give and continue to give over time (Bekkers & Wiepking, 2011).

The mission of the academic library is to provide its user community with access to relevant information to support learning and research. The academic library provides a level playing field for students and scholars, where all who want to learn can find the information they require. Giving to its community is the academic library’s core function. Forms of giving include, for example, programming designed to assist, information to gain knowledge, access to space and resources, a climate of tolerance, and efforts to include service and resources that represent all ideologies, people and needs. Regarding information, the academic library supports all learning and research in the institution. This mission is philanthropic; thus, all stakeholders of the academic library are recipients of philanthropy from the academic library.

The rationale for conducting this study in the academic library:

- It is common for fundraisers in academic libraries to complain that they struggle to achieve the level of success of their colleagues in degree-granting units. Therefore, the academic library would be more likely to integrate a new fundraising model than other units that already enjoy fundraising success.
- Research on the topic of academic library fundraising is extremely sparse.
- Having done three previous studies on this topic, I am uniquely positioned and qualified to lead this study.

Methodology

A qualitative method was selected for this study to expand and contextualize the quantitative data collected on the topic of fundraising in academic libraries in the Dilworth Heyns survey in Chapter 2. For this study, data was collected using an interview tool determined by Indiana University to pose no risk of harm to human subjects. All subjects interviewed were asked the same set of 15 questions in the same order except the first interviewee, the Dean of Academic library Services at California State Polytechnic University (Cal Poly), whose interview revealed the need for re-ordering and dividing some of the questions. The initial interview collected similar data to the remaining interviews, and its data aligned with the design for the data organization tool. Therefore, it is included in the study results.

Case Selection

A comprehensive list of the study participants is included in the Appendix I. Only institutions that have fundraisers supporting the academic library are represented in the fundraisers group. However, some of the fundraisers in this group are dedicated to the

academic library full-time, while others split their time between the academic library and other units. Of the seven academic library deans/directors interviewed, two do not have a fundraiser supporting their academic library. Of the five university development leaders interviewed, two do not have a fundraiser in the academic library at their institution.

Except for the first interview conducted for the study, all occurred over the phone. Interviews were recorded with permission. The first four were conducted using the iPhone Voice Recorder application. Due to difficulties transferring these recordings to the protected storage tool, the remaining were recorded using the Mac Simple Recorder application. Viable recordings were transferred to the Box application on Indiana University's Canvas platform and deleted from the iPhone and Macintosh. The Box application uses two-factor authentication for security. Handwritten notes taken during the interview were scanned and filed into the Box application. The originals were destroyed. The recordings and notes were used after the fact to populate a digital interview template for each subject. These template forms were also filed into the Box application.

Interviewees

Group 1 – Twenty current or former fundraisers for academic libraries in the United States (U.S.).

Group 2 – Seven academic library deans/directors representing institutions of various sizes and locations in the U.S.

Group 3 – Five university development leaders representing institutions of various sizes and locations in the U.S.

All study participants are listed in Appendix I.

Participation Process

- Contacted potential participants via email to inform them of the intent of the study and request interviews
- Set interview dates and times
- Conducted and recorded interviews

Participants were recruited using existing professional networks. I employed a snowball method to grow the interview field to 32.

Data Collection

- Participants were selected based on their role. Fundraisers make up two-thirds of the interviewees. Academic library deans/directors and development leaders were included to provide other, meaningful perspectives and identify any gaps in understanding on issues identified in interviews with the fundraisers.
- The purposeful sampling strategy attempted to include a well-rounded representation of university sizes, central development models and national regions.
- The interview questions were standardized for all interviews with, opportunities for open-ended discussion to ensure all relevant topics were covered (Patton, 2002).
- The general interview guide approach was utilized (Butina, 2015).

Data from the interviews were organized on an Excel spreadsheet. This document divides subjects into three groups: fundraiser, dean, and university development. Each group member is identified by name, institution, and title. Years of experience in the academic library are also reflected in the fundraiser group. A column was created for

each of the 15 questions in the interview. Key words and general phrases were recorded for each subject. Meaningful anecdotes were collected in a notes section. The Excel spreadsheet was created to provide minimal information in an easy to access and compare format to assist with the writing process. The intent was to identify opportunities to refer to the notes, recording and interview template for further information. The Excel spreadsheet is also stored in the Box app.

The research design for this study is the narrative form. Therefore, while there will be comparisons and contrasts between the subjects and their responses, there is no formal analysis. The goal of the narrative is to demonstrate the various perspectives and approaches to this work. However, it also reveals consistencies in certain experiences and situations where the different groups have conflicting understandings and perspectives. Certain themes that emerge are highlighted and deconstructed to determine foundational disparities between groups and suggest solutions. For example, the interviews revealed strong differences in awareness and understanding of certain activities, methods, and expectations between and within the different groups. These differences are very valuable findings in the study and are discussed at length.

The interview questions are divided into two topics. The first relates to challenges to fundraising in the academic library. The second is designed to collect feedback on the Social Capital Fundraising Model. Most interviews took between 30 and 45 minutes. Some of the early ones, however, took longer. This difference was likely due to the researcher's initial lack of experience conducting interviews. The fundraiser group took longer in their interviews than the other two groups. This group had much more to say about the challenges to fundraise and many more examples of success leveraging social

capital in their work. The academic library deans/directors group often chose not to answer or claimed that could not answer questions specific to fundraising practice, and the university development group sometimes did the same for questions specific to the academic library. The interview questions are included in Appendix H.

Analysis

A narrative research model was selected because it provided the greatest opportunity for interviewees to provide context to their answers. The narrative model selected was the phenomenological form where lived experiences about a phenomenon are described (Cresswell, 2014). Narrative identity theory was utilized to explain internalized, evolving, and integrative experiences of the individual interviewees. The use of thematic analysis allowed for identification of themes and shared experiences. (Butina, 2015).

Data were consolidated to provide insight into the research question and then compared to identify patterns or themes in the data. The interpretation of those patterns and themes are the findings of the study (Cresswell, 2014). A simple code was developed using a spreadsheet where keywords and simple phrases were taken from discussions of each standardized question to identify opportunities to compare, contrast and contextualize.

Strategies for Ensuring a Quality Study

The same questions, given exempt status by Indiana University's IRB office, were asked of all study participants. No participants given access to the questions ahead of the interview. All were introduced to the *Social Capital Fundraising Model* for the first time

during the interview and were given the opportunity to ask clarifying questions and provide feedback.

Coding for key words, phrases and themes provided structure to the analysis, however, direct quotations and thick description were utilized on occasion to bring nuances out of the data.

In addition, the following steps were taken to ensure a quality study:

- Utilized general interview guide approach (Butina, 2015)
- Utilized thematic analysis for narrative study (Butina, 2015)
- Interviews recorded, hand notes taken, and notes transferred to interview template
- Data stored in protected IU-issued Box storage platform
- In the event of missing data that could occur due to participants dropping out or failing to answer all the questions, Multiple Imputation (Schafer, 1997) and likelihood-based estimation methods (Little & Rubin, 2002) were utilized to adjust the data set for missing information.
- The risk of selection bias was limited by instituting a study design that has variation on the dependent variable (Collier et al, 2004).
- Case studies of both success and failure were included in the research to limit the risk of selection bias (Collier et al, 2004).
- The appropriate study groups could emerge from the data to limit selection bias
- The “two-way connections between macro level conditions and micro level behavior” in regard to the research question were examined using a

mechanism perspective in order to limit the risk of mistakes identifying cause and effect (Small, 2013, p. 597).

Feasibility and Ethics

Some of the interviewees were known to the researcher. A few others requested to be interviewed as part of the study or were suggested by other study participants.

Consent: The language in the email message requesting participation explains the following:

- Study participants had the option to decline or choose not to respond
- Study participants had the option to participate anonymously

At the time of the interview:

Interviewees were asked to provide their name, title and institution or choose to be anonymous

- Interviewees were told that the information collected will be kept in secure files
- Interviewees were told that they could choose at any point including following the interview to not have their information included in the study and that reported results would be anonymized

Strategic Selection: The study prioritizes fundraisers in the academic library who make up two-thirds of the interview group. Academic library deans/directors and university development leadership are included to contextualize data collected from fundraisers and identify gaps in understanding regarding the fundraising experience by these two groups, who typically supervise the fundraiser in tandem.

Consent: Before beginning the interview, all interviewees were asked to give their name and consent. These consents were recorded on audio and stored in the protected IU-issued Box storage platform.

Incentive: There was no monetary incentive offered for this study. However, the introductory email offered a rationale that academic libraries will benefit from the data that emerges from the study.

Findings

Fundraising for the Academic Library

The first set of questions, focusing on challenges to fundraising in the academic library, created the most data and represented the bulk of conversation in this study. In order to contextualize the data collected in the Dilworth & Heyns study in Chapter 2, these interviews were opportunities to further develop understanding of the of how the three groups (fundraisers, library leaders and university development leaders) view the challenge to fundraising success. The fundraisers interviewed in this study included individuals who have served in their positions for over 20 years as well as fundraisers in their first year or two in the profession. Not surprisingly, although there were strong consistencies in answers to the challenges experienced in their roles, long-serving fundraisers had more ideas about how to solve them.

The first question asked participants to describe the greatest challenge to fundraising in the academic library. Respondents from all three groups overwhelmingly answered that the cause for challenges to fundraising is the libraries lack of alumni. Many characterized it having no natural constituency. One fundraiser acknowledged that this answer is correct but refused to have it recorded in the study. She explained that she is

tired of hearing that excuse and instead selected the challenge of educating donors that libraries need philanthropy. Another atypical answer to this question was trouble cultivating donors for monetary support in an environment that has traditionally counted fundraising income. A fundraiser at a large private institution said that while he has access to plenty of donors, few have a high giving potential. Citing internal challenges to successful fundraising, another identified the board of her organization as a barrier. In this case, the fundraising priorities determined by her institution do not include any cases for giving that align with the academic library.

The academic library deans/directors interviewed mostly identified the lack of alumni as the main challenge to successful fundraising. Many were resentful of university development for creating that condition by aligning alumni most inclined to give with the college and departments from which they took their degree. With that challenge in place, an associate dean at a large, public university expressed frustration that the units that raise the most money tend to receive the most support from university development. He thinks that these resources should be focused on units like the academic library, which have few staff and much fewer prospective donors. Another participant, representing a large west coast university system, expressed disappointment that the academic library is positioned as a competitor with degree-granting units.

Transformational change in the look and function of the academic library over the last 40 years was cited by another dean/director whose institution is part of a very large state system. In the Midwest, a newly appointed dean/director defined the problem as a matter of legitimacy. She blames a larger, global doubt about the value of libraries as an underlying factor that brings challenges to academic libraries across services and

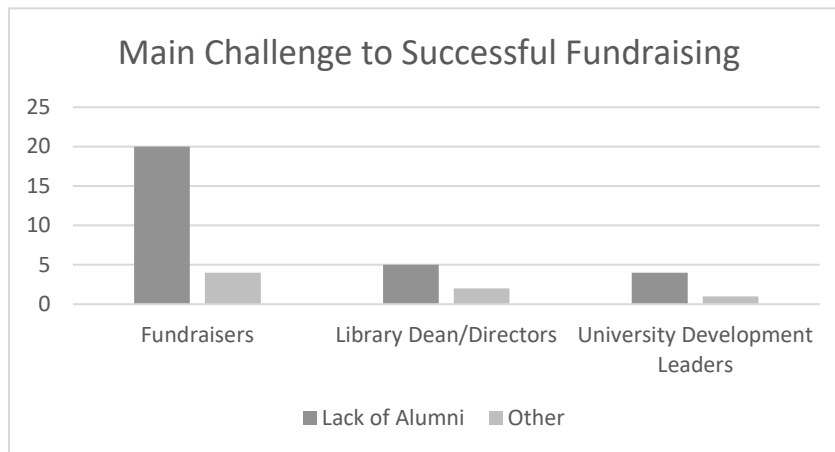
initiatives. Mitigating common misconceptions to develop donors for the academic library is best described by one of the fundraisers as the need to, “educate before you cultivate.”

The university development leaders (former fundraisers, themselves) also answered that the greatest challenge to successful fundraising in the academic library is its lack of an alumni base. One university development leader who does not have a dedicated fundraiser in the academic library at his institution wondered if the nature of academic library service as a basic service undermines the development of student affinity. Students see the library as a core service and resource and assume it is supported by the university. Another who spent much of her career as a fundraiser in an institution with a celebrated academic library that had great fundraising success recognized the challenge to message the drastic change in the look and function of the library since the years when current donors were at the institution. In her current institution, she employs two full-time fundraisers to support the academic library.

In a small, centralized development program supporting a private liberal arts college, the university development leader had also worked for years at a large, public institution with a well-supported academic library. She does not have a fundraiser dedicated to the academic library in her current institution, but she has strong knowledge about its cases for giving from a previous fundraising position that supported the library. She identified monetary donations as a recent shift in fundraising activity for the library. In the past, the goal was to solicit donations of materials like books and archival collections. She believes that older donors, therefore, might not think of the library as a unit that requires financial support.

Figure 6 illustrates the overwhelming response from the different groups that the lack of alumni is the greatest challenge to fundraising success in the academic library.

Figure 6: Main Challenge to Successful Fundraising



Fundraisers put the blame on university development leadership for prioritizing a fundraising model that aligns donors with degree-granting units. Asked how this condition impacts fundraising outcomes, all acknowledged that it plays a role in lower fundraising outcomes for the academic library. A smaller pool of potential donors dooms them to lower fundraising outcomes than the degree-granting units. In their defense, a study from 1994 demonstrated that academic libraries with greater access to donors raise more money (Heyns, 1994). Making their job even more difficult, some complained that institutional narratives about giving are focused on giving opportunities that align with the colleges and academic departments. The focus on cases for giving misaligned with library needs made some fundraisers feel less valued as professionals by university development and their development colleagues. Limited access to donors limits the dissemination of information about the library and opportunities for giving to it. Most of the fundraisers claimed that individuals express a reverence for the library, but that does

not naturally translate into giving. One put it simply, “Alumni love the academic library, but they don't want to give it any money.”

Some of the academic library deans/directors in the study have lost faith in university development. One dean/director described the impact of generations of college-focused giving narratives. She said that whether it is the academic library or even institution-level needs, it is difficult to redirect donors from their school or college of graduation. The unique cases for giving to the academic library compared to academic units are a challenge for fundraising. Without scholarships, for example (a very popular gift in higher education), donors are not aware of how their giving can help the academic library.

At the same time, the services and resources of the library are not understood or valued. For example, one dean/director complained that support for annually increasing digital resources is dismissed as a viable case for giving. The dean/director at a large R1 institution, where resources to support research are crucial to the mission, said that the academic library is simply not as important to university development as the colleges. She wonders why leaders in university development are so inclined to create challenges to fundraising success for an academic library that, in her words, “never says no” to its community. The complaint that university development prioritizes giving to degree-granting units and strategically steers donors to cases for giving in those areas was a common complaint in the interviews. Some described a feeling that university development views the academic library as a lost cause in terms of fundraising success.

On the other hand, some interviewees see a benefit in that perception. One dean/director new to her position and with bold plans for service innovations in her

library, said that the rules in place regarding alumni engagement create such barriers to fundraising that she feels free to focus on her goals for the library and not worry about the pressures that other deans have to fundraise. Another admitted that his fundraising staff has successfully positioned the library as a favorite second or third gift to the institution, and the resulting fundraising outcomes are perfectly fine to him. Another acknowledged the challenge but said that the reputation of the library brings in donors, just the same.

University development leaders offered little hope for meaningful change. One leader from a large southern university said that the library only attracts a certain kind of person, and there's little chance of attracting most away from their allegiance to their college. When pressed for examples of potential donors, he described individuals with sophistication and a love of knowledge. Another who seemed to better understand the value and mission of an academic library expressed the difficulty in explaining that to donors. Yet another said that, for donors, it is just easier to give to their college. Because the colleges hold management over their alumni, it is true that giving there is easier because they hear from their college so often. Most academic libraries are not allowed to solicit alumni already connected to another unit. In the survey conducted for the study described in Chapter 2, over 70% of the academic library fundraisers reported that they must ask permission to solicit university alumni who are not already giving to the library (Dilworth & Heyns, 2020). The ease that this university development leader claims as the explanation for the reason so many alumni give to their college is less about inclination and more about awareness of giving opportunities.

One of the university development leaders explained an effort he made upon arriving at his current institution after working previously for a university where the academic library had strong fundraising success. In his new role as the leader of the university development unit, he featured the academic library in an annual appeal to parents of current students. This brought the library some new donors and built awareness about its cases for giving. After a few years, however, another non-degree-granting unit asked to be included in the appeal. When the Office of Student Affairs was added, funding to the library declined dramatically. He described feeling bad to see giving move so dramatically away from the library, but understood the affinity that parents had for student affairs. Eventually, he dropped the library from the appeal. The lack of a solid understanding of the role that the academic library plays in the student experience and cases for giving that entice donors to give, he said, "...robs the academic library of the fundamental, traditional building blocks for fundraising." Unlike his previous institution, he discovered that the library at his new university lacked the same reputation as being, "part of the social culture of the community."

In Chapter 2 of the study with Dr. Erla Heyns, we found that staff size has not increased very much in the last 25 years even though overall staff sizes in higher education have ballooned (Dilworth & Heyns, 2020). For academic libraries that do have fundraising support, it is typically for just a single individual. That was the case for many of the fundraisers interviewed in this study. However, because most are members of Development Officers of Research & Academic Libraries (DORAL), an exclusive, small group of Association of Research Libraries (ARL)-member libraries with a history of fundraising success, some enjoy a robust, professionalized staff. Those who could speak

to the challenge to recruit competent, committed staff expressed difficulty recruiting fundraisers. Only one had a positive response. In position announcements for fundraising positions, she positions the academic library role as an opportunity to stretch skills and overcome institutional challenges. Others who serve as a single fundraiser worry what will happen when they leave their positions and their dean must find a new, competent replacement. Most blame challenges to fill positions and retain staff on a reputation for the academic library being a difficult environment to achieve success.

Unlike the high rate of turnover for fundraising staff in general (just two years according to a recent study conducted by the *Chronicle of Philanthropy* (Joslyn, 2019), the fundraisers in this study average nearly nine and a half years in their positions. The study by the *Chronicle of Philanthropy* discovered three key issues relevant to the information collected from fundraisers in this study. In addition to news from 1000+ fundraisers plan to leave their current position within two years, fundraisers in the study reported that the reason they were attracted to their current position in the first place was an affinity for its mission (Joslyn, 2019). The 9.5 year average of the fundraisers in this study can be explained by the great passion all those interviewed in this study expressed for the academic library.

Another explanation for their longevity might be the community established through their library's membership in DORAL – something they do not feel they have with their peers at their own institutions. Founded in 1991, this small group of member libraries (restricted to 35 ARL-member academic libraries) hosts an annual workshop-modeled conference and maintains robust engagement through its list-serve. In a field where few fundraisers get specialized training for the academic library, this group has the

rare benefit of supportive colleagues who share ideas and strategize solutions together. One member from a well-supported private university lamented the challenges faced by academic libraries without such strong collegial support: “Academic libraries are such special places. They really all deserve to have a competent, devoted fundraiser to support them.”

Of the seven academic library deans/directors who participated in this study, two do not currently have a fundraiser dedicated to the academic library, and two others have a new fundraiser. Four have fundraisers who are members of DORAL, including the two with new ones. The deans/directors without fundraisers were, as expected, the most frustrated about staffing. The dean from the large, west coast university system, after failing to convince university development to co-invest in a fundraiser, hired a communications specialist to assist with fundraising. Without a formal tie to university development, however, the fundraiser did not have the support she needed to be successful and only stayed a short time. Similarly, a dean/director in a southern university with a small university development office complained that she had worked with three different fundraisers in the last three years. Not only did this impact her fundraising outcomes, but she still lacked a portfolio of cases for giving. Others acknowledged their good fortune to have inherited long-serving fundraisers who, over the years, have developed a group of committed, informed donors.

University development leaders also described challenges recruiting and retaining fundraisers for academic libraries. They had a different perspective, though, related to the reputation academic libraries have as an outlier in the higher education development career track. For fundraisers planning to progress through the ranks, they explained that

the academic library is viewed as not relevant to that progression and possibly a stumbling block. One leader from a large, Midwest public university explained that as individuals move into high level positions, they are inclined to take “the path of least resistance.” The library, with its challenges and lack of alumni, he explained, would not be one that most fundraisers would consider.

In another large public university in the Pacific Northwest, the university development leader confessed his good luck that the library fundraiser at his institution has been in her position for many years. Offering some insight into why some fundraisers choose this role, he credits her longevity to a pre-existing affinity for the library. Another leader with experience in a wide range of university sizes and structures suggested that academic library fundraisers should be recruited from the nonprofit sector. Fundraisers with this experience, she feels, help them better navigate the lack of alumni since nonprofits rarely enjoy the benefit of a strongly aligned constituency. This entrepreneurial spirit was expressed by many of the fundraisers who participated in the study. One fundraising manager routinely describes fundraising positions in the academic library as a “tricky fundraising situation,” hoping that this will attract the kind of fundraisers who are most likely to enjoy the challenges they will face in their role.

Collaborating on funding proposals is often suggested to fundraisers in academic libraries by their deans/directors. Several of the deans/directors in this study mentioned this model as a way that they see the library having more fundraising success. For example, a collaboration could look like a scholarship for chemistry students that includes support for library collections that support that discipline. Many of the fundraisers in this study also believe that this type of collaboration is a viable opportunity

to pursue. However, few have ever achieved it or heard of other libraries doing so. In one case, however, there is at least a model in place to make it more likely for an interested donor. At a large, private university on the East Coast, fundraisers from different units come together to build collaborative proposals and then have a generalist fundraiser present it to the donor. Only one fundraiser in the study from a large private university in the Midwest reported that she had successively facilitated several collaborative proposals. She credited encouragement she received from her university development leadership as a strong factor in making it possible. Even so, she keeps her portion of a proposal comparatively small in order to manage the concerns of the degree-granting units involved that the library is a threat to their fundraising success.

The other fundraisers in the study who have not yet facilitated a collaborative proposal described working very hard to build the foundation for one in the future. Much of that work relates to internal cultivation of other fundraisers and university development leadership. One fundraiser, at a large land grant university in the south, invites all the fundraisers at the university to all library events. Another takes a similar approach by never missing a university event herself. She explains that, invited or not, she goes to everything on campus to keep the library on everyone's mind. Interactions with her peers allow her to pursue an ongoing narrative about the value of the library and its cases for giving.

Being a part of a gift to support an endowed professorship is the goal of a new fundraiser in an academic library system in a large, midwestern public university. She has taken it upon herself to personally meet with all the deans across campus to make them aware of the value of this collaboration should they identify a potential donor from their

college alumni. Another who has supported fundraising for academic libraries at two universities is less motivated to pursue collaboration since her current university development program does not allow fundraisers to share credit on a collaborative proposal. She is not the only one with that issue. Others talked about how the hesitation to allow fundraisers to share credit for collaborative gifts undermines this donor engagement approach. When university development units do not encourage or reward that activity, fundraisers in the study reported that it creates competition between fundraisers. Upon entering the university museum to view an exhibit, a fundraiser at a large public southern university heard the museum fundraiser say to a colleague, “Watch out, here comes the enemy.”

The inability to achieve the level of success of the degree-granting units has an impact on the reputation of the academic library across the campus. Many of the fundraisers explained that when asked, colleagues and peers express a positive opinion of the academic library, but they do not think it needs money. At one of the oldest public universities in the country, the fundraiser of the academic library explained that her university categorizes the library as a “non-school initiative.” This categorization speaks volumes about how her university development program perceives the library and has a direct impact on her ability to build collaborations with other units. At a prestigious private university in New England with a world-class academic library, the fundraiser is often left off university development communications. On many occasions, she has missed important meetings because the central development office forgot to invite her. Many others told stories about having to insert themselves into university development activities.

Communication is crucial to academic libraries efforts to overcome challenges. Most academic libraries focus their communication efforts on resources that support learning and research. It is less common to include language that builds awareness and appreciation for how the cases for giving in the library align with giving opportunities in the academic units. A fundraiser in a historic New England private institution supports fundraising in the academic library from her position in the central university development office. With such proximity to the other fundraisers, she constantly talks about the library and even distributes a regular update on activities in the library to her colleagues. She has also had the dean/director and lead archivist speak at monthly development meetings. Others have found that regional fundraisers and planned giving officers are often open to learning about the library and including its cases for giving in proposals.

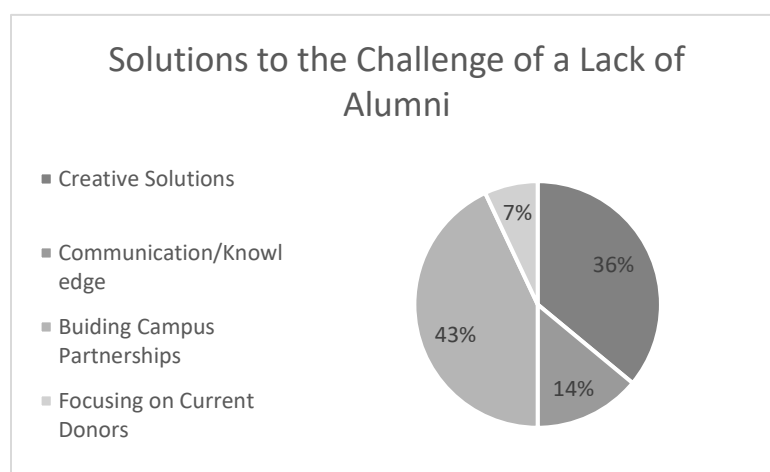
Some fundraisers in the study provided examples of “out of the box” fundraising strategies. At one large public university where barriers to collaboration and donor access are very strong, the fundraiser abandoned the pursuit of alumni altogether. Instead, she leverages her library’s special collections, creating travel opportunities that attract individuals from across her state. Not only has this elevated the reputation of her library beyond the campus and alumni communities, it has enabled her to solicit valuable personal collections and major gifts. This is a prime example of the entrepreneurial approaches that fundraisers in academic libraries routinely employ to meet their fundraising goals. Strong engagement with donors that they have attracted is at the core of their cultivation and stewardship activities. Without knowing it, many already employ a fundraising model based on social capital. In the second part of the interview where the

model was introduced to elicit feedback, most fundraisers reported that they were already using this model without realizing.

Figure 7 demonstrates the four common ways that fundraisers are responding to the challenge of a lack of alumni. Most of the fundraisers in this study spend a great deal of time and energy trying to build partnerships with other fundraisers in academic units. This effort is primarily in support of eventually collaborating on a proposal with one of their donors. Other common solutions to challenges include working with potential donors who are not alumni, adjusting expectations and redefining the meaningful of success for fundraising activity..

General communication efforts on the value of the library also include outreach to colleagues as well as university leadership and donors. Only one interviewee responded that her strategy is to focus on the donors she already has, making sure that their experience giving to the library is so positive that they continue to give. This same fundraiser has managed to facilitate a collaborative proposal with academic units.

Figure 7: Solutions to the Challenge of a Lack of Alumni



Feedback on The Social Capital Fundraising Model

Interview questions in this section introduced interviewees to the concept of a fundraising strategy designed to increase the social capital of donors and to determine if this practice was already in place. fewer data were collected from these questions because, for most of the interviewees, this was their first exposure to the model, and many were unfamiliar with the term “social capital theory.” Not surprisingly, interviews with fundraisers revealed that many routinely use the elements of this strategy. Most reported that they unconsciously apply a strategy of building the social capital of their donors to cultivate them for giving, maintain donor engagement with the academic library and increase donor giving.

To begin the questions, I asked interviewees to respond to the definition of social capital utilized in the study based on Putnam’s (2000) concept of a social network made up of bridging and bonding connections that provides mutual benefits:

Social capital is the social network that emerges through bridges and bonds made between individuals. Social capital is also the benefits of those connections.

The definition evolved, however, in the early interviews. For example, since increasing the social capital of the academic library, itself, is one of the core benefits of this fundraising model, the definition was changed to:

Social capital is the social network that emerges through bridges and bonds made between individuals, organizations, and institutions. Social capital is also the benefits of those connections.

This latter definition proved to be too long for interviewees who were hearing it read to them and did not have a written definition to review. Therefore, I decided to stick with the shorter version at the beginning of the interview but included a question later in the interview that described the benefits of this fundraising model to the academic library.

Another issue with the definition became apparent at the early stages of the project, as several fundraisers expressed discomfort with the use of the term “benefit.” Considered a negative outcome for giving, benefits are connected to unethical practice and can threaten the legal status of a charitable gift. As a result, I selected a term that Adler and Kwon (2002) substitute for benefits in their discussion for how social capital operates in philanthropy:

Social capital is the social network that emerges through connections made between individuals. Social capital is also the goodwill that comes from those connections (p. 23).

Though most of the interviewees claimed to agree with my definition, the interviews revealed that few truly understood it well enough to grasp the concept of the fundraising model. For example, many applied it to fundraising as if it meant “social life.” One university development leader, for example, wondered why this model would apply to all donors, specifically those who were not interested in having a social experience.

Finally, the model was described using this definition:

The Social Capital Fundraising Model is a fundraising model in which the building of social capital is a strategic goal grounding the fundraising process from identification to stewardship. Philanthropy research provides evidence that by building the donors’ social capital through their giving that they will not only continue to give but give more.

The interviews began by asking interviewees to describe ways in which they were already using the model; possibly without realizing it. One long-serving fundraiser exclaimed, “We’re doing it, but we didn’t have a name for it.” A university development leader whose academic library does not have a dedicated fundraiser claimed that he regularly observes his fundraising staff employing this approach to donor engagement, “...intuitively but not strategically.” More than one fundraiser explained that the tenets of

the new fundraising model are the foundation for their strategy for engaging their advisory council or board. Most responses by fundraisers and university development leaders reflected a realization that building social capital was at the core of their donor engagement activities but, as one explained, "...we didn't see it in this frame."

Even so, 13 of the 29 interviewees struggled to differentiate social capital from social networks. This became apparent when they gave examples for how they were already leveraging the model. The Friends of the Library group was offered as an example by many fundraisers and deans/directors who still have this volunteer model in their library. But this example suggests a sense that aligned individuals demonstrate social capital. Interviewees were not able to give examples of strategic efforts on their part to expand it or leverage it for stronger engagement. Another example that was offered several times was a faculty member donating to the library to support students. Again, this suggests social capital built during their time of service to the library, but not an effort to exploit that for a stronger engagement that could result in more or expanded giving.

Surprisingly, several fundraisers gave examples of their efforts to build their own social capital rather than that of donors. In these instances, they referred to internal efforts to expand understanding of the library and set a foundation for collaborative proposals in the future. These fundraisers had not considered how a similar strategy could have positive effects with donors. Others described traditional stewardship activity intended to increase a donor's attachment to the academic library. Stewardship is the stage of donor engagement where social capital building can be effective. However, events were offered most often as an example of building social capital. Although strategic events can

certainly build stronger bonds between the donor and the library, these fundraisers were still not seeing the model as a unique strategy for individual donors. Advisory councils were also given as examples of current social capital-building activities. Similarly, these were examples of collective engagement strategies rather than individual.

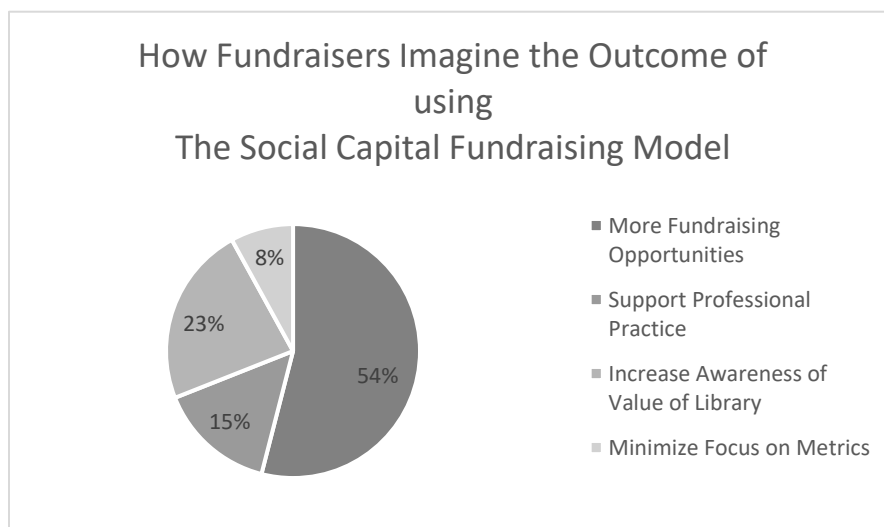
The university development leaders grasped the concept more quickly and were able to provide meaningful feedback. One development leader from a small private university in the south wondered how fundraisers were doing their work without it. Another was very enthusiastic about it mitigating what he felt had become a transactional approach to fundraising. He recommended getting buy-in from the top of the institution but advised that efficacy would have to be proven because leaders might worry that a new approach could result in decreased funding in the short term. This concern was based on his understanding that the donor engagement process would require more time and effort than is typically devoted to an individual donor. The leader from the small southern private university had no doubts this approach to donor engagement would increase giving, but she wondered how to measure her fundraising staff's success implementing the model in their work. The leader of a large Midwestern university development program suggested that with challenges already in place, the academic library would be a valuable testing ground for this model as a first step in a strategy to integrate it across all fundraising units.

The fundraisers were anxious for evidence that this form of donor engagement would really work so that they could get permission to use it. In addition to evidence from research findings, they said they needed practical proof of success to convince their deans/directors of the advantages of an investment in strategic and robust stewardship

with existing donors. For example, this model would not be compatible with current measurements related to the number of prospective donor visits and solicited proposals. To use the model successfully, fundraisers would need to focus time and energy on fewer individuals. One envisioned permission for this approach, saying it would give her free reign to “friendship-build” and reduce the pressure she feels to close gifts.

Many fundraisers imagined how their situations would change by adopting the model. Most felt sure it would help them raise more money. One said it would increase professionalism of fundraising staff, leading to better fundraising outcomes. In various comments, fundraisers explained how fundraising success that elevated the reputation of the library could break down the barriers to collaboration, access to donors and the controlling way that assessment metrics restrict the way they engage with donors. One dean/director suggested that authentic donor engagement would create giving that is more altruistic. Figure 8 illustrates the ways in which fundraisers envision their work if they began using The Social Capital Fundraising Model.

Figure 8: How Fundraisers Imagine the Outcome of using The Social Capital Fundraising Model



However, the academic library deans/directors in the group struggled the most to describe robust donor engagement or ideas to ways to build social capital, but they are also the group with the least amount of focus on donor engagement in their roles. Still, it was sometimes difficult for them to see how social capital could be fundamental to the broad service mission of the library and employee management as outlined in chapter three. When asked to consider the benefits or goodwill that donors could experience through their giving, most identified library services and resources available to the campus community. This common answer reveals not just a misunderstanding of social capital but also a lack of awareness of donor behavior. While the service mission is at the core of philanthropic engagement for a library, to engage donors over the long term and increase their giving, donors must receive some form of goodwill, themselves. However, few donors ever utilize or even have access to library services. Because a donor cannot experience the benefits of their giving in the form of library services, it requires creativity to steward them in a way that specifically aligns with the motivation for their giving: access to information and collections of published resources, for example. And particularly for donors who make major gifts to the library, a simple thank you letter just is not enough. One library dean/director specifically discussed the consequences of failing to build social capital with previous donors. As library donors have dwindled in numbers over the years, she finds herself reaching out to donors from the past to try to reengage them through strategic, meaningful stewardship efforts. She understands that the library needs donors to continue to give and also motivate others to join them. Like many of the deans/directors interviewed in this study, she explained how a general loss of

understanding of the value of the academic library is compounded when it lacks a group of committed advocates and champions.

As the early questions asked interviewees to imagine the donor's experience in this scenario, the final ones asked about the potential for mutual benefits experienced by the library itself. Much has been written about individual social capital, but organizations can build, hold and apply it as well. Schneider (2009) defines organizational capital as, "...established, trust-based networks among organizations or communities supporting a particularly nonprofit, then an organization can use to further its goals" (p. 644). Most interviewees were intrigued by this idea. Upon hearing how the application of the new model could expand the social capital of the library, itself, one fundraiser, after a moment of silence, claimed his mind had been blown. One of the deans/directors said that social capital would allow the academic library "into the tent." Another fundraiser said it would help with everything: better partnerships, access to more archival collections, better word of mouth, more collaboration and better fundraising. Another described organizational social capital for the academic library as a scaffold that could support success across many initiatives. In the same spirit of ever-expanding value, another fundraiser characterized the benefits of social capital for the library as dividends that paid out over time. He aligned social capital with equity that the library could build with both internal and external stakeholders at its value was increased through this kind of engagement.

Conclusion

The academic library was chosen for this study for several reasons. The first is because it has a reputation for being a difficult area within higher education to achieve fundraising success. This reputation discourages fundraisers from pursuing these positions

and creates a bias in university development leaders that academic libraries cannot have the success of degree-granting units. The second reason for selecting the academic library is that information professionals need more encouragement and support for fundraising. Despite calls from national academic library associations to increase fundraising in both the public and academic sectors, few information professionals are trained in fundraising in graduate programs. The final reason is that the academic library is a good environment to test the strong evidence that expanding the social capital of donors will increase fundraising success.

If philanthropic donors can build their social capital through giving to the academic library, then libraries can build their social capital through engagement with this process. This paper argues that philanthropy can also build the social capital of the organization that benefits from philanthropy. This argument will be positioned as another case for pursuing fundraising in the academic library beyond the benefit of collecting much-needed funds. For donors to an academic library, their social capital grows because of the relationships that the donors build with individuals within the academic library; and, through them, with the university and the body of donors to the institution. But the academic library and those involved in the fundraising process also build social capital through engagement with those who already have it (donors). The library also gains and builds social capital through the fundraising process and outcomes. As participants in fundraising to support a philanthropic mission, both the academic library as an institution and individuals involved in fundraising receive the benefits of giving: access, influence and information as well as the feeling of happiness from doing good (Anik et al, 2009).

Interviews in this study confirmed previous studies that fundraisers in academic libraries struggle to achieve the success of their colleagues in degree-granting units. However, the three groups of interviewees were often not aligned when it came to finding a solution. Not surprisingly, the fundraisers demonstrated the strongest knowledge for how to connect donors to cases for giving in the academic library. Even so, the university development leaders had little confidence that they could match the success of the degree-granting units due to the lack of alumni. What they failed to recognize, however, is that the existing model aligning alumni with their college restricts donors from encountering giving opportunities beyond in the library in the first place.

As higher education fundraising has become more data driven and alumni populations more stratified, their giving to their college has a lot to do with the fact that it is often the only place that they are asked to support. University development leaders need to take steps to ensure that the mission of fundraising also benefits the academic library rather than disregard the viability of cases for giving to the library because these unique, yet compelling cases do not fit into the traditional fundraising model. As one suggested, the library is a good place to encourage a new fundraising model. However, it requires that fundraisers in this environment be assessed in a way that aligns with this kind of strategic, robust donor engagement activity. The traditional annual metrics of visits, proposals and dollars are not appropriate for this long-term strategy.

The gaps in understanding about donor engagement and viable cases for giving between the fundraisers and academic library deans/directors were more concerning. Rather than an institutional barrier, these two groups lack shared understanding about donor motivation and behavior. Most deans/directors demonstrated limited knowledge

about fundraising practice and methods for donor engagement. Studies of job postings for academic library deans/directors demonstrate an increasing expectation for fundraising to support the library (Winston & Dunkley, 2002). Deans/directors report that they spend much of their time in activities related to fundraising (Keith, 2018).

The challenge to align social capital with fundraising revealed a low level of experience in this practice in the dean/director group. Without strong, informed advocacy from academic library deans/directors, structural barriers to success in university development will continue to challenge fundraising success. Many of the fundraisers interviewed in the study expressed challenges to work collaboratively with their deans/directors due to a lack of understanding about typical donor behavior or appreciation for the stark difference between cases for giving in the library and giving opportunities donors often encounter. There seems to be a strong need for training to close the knowledge gap between deans/directors and their fundraisers.

It is possible to have strong success in fundraising in the academic library. There are examples of fundraising success by libraries represented in this study. The biggest block is the perception that the lack of alumni limits fundraising performance. Although higher education as a sector is a high fundraising performer in the United States, there are millions of nonprofits (including public libraries) that have success raising money without these robust lists of long-connected individuals who feel a kinship to the institution. Outside of higher education, fundraisers successfully raise funds for their organizations and institutions by identifying individuals who have an interest in their mission, a history of supporting similar missions and a capacity to give. Furthermore,

studies show that alumni giving is dropping. If higher education is going to continue to fundraise successfully, it will need to build fundraising strategies beyond its alumni lists.

There is the possibility to build bonds that are even stronger than an alumni model by engaging prospective donors in a way that expands their social capital. The mutual reception that occurs through this model builds stronger connections between donors, staff and faculty engaged in the fundraising, and the academic library itself.

Chapter 5 - Conclusion and Suggestions for Further Research

As the three studies have shown, academic libraries continue to struggle to achieve fundraising success with the traditional higher education fundraising model that prioritizes alumni relationships with their college of graduation. Limitations to prospective donors and quantitative assessments of fundraising activity on par with academic units create unfair disadvantages to fundraisers working in the academic library.

The idea for a social capital-based fundraising model came out of my own practice of fundraising in an academic library. As I got to know colleagues from other academic libraries primarily through my membership in DORAL, I realized that a social capital-based fundraising model was a common approach made necessary because of few donors. Like me, my colleagues spent a lot of time building engagement with the donors they already had, and the cultivation of new donors required more time and energy than it did for their peers in academic units. It occurred to me that social capital was at play in this engagement. Although there is strong research in the field of philanthropy that social capital and giving are strongly related, I had never seen it consciously leveraged in fundraising practice.

As the third study demonstrates, I was not the only fundraising professional unaware of the role of social capital theory in fundraising practice. However, it functions, nonetheless, unconsciously in robust donor engagement. It is not an easy concept to grasp due to confusion about how it compares to social networks or digital social media. Implementing a social capital-based donor engagement strategy must begin with a thorough understanding of social capital theory. One fundraiser suggested that I offer

hypothetical scenarios using *The Social Capital Fundraising Model*. The examples in the last section demonstrate its application in typical higher education fundraising scenarios.

Suggestions for Further Research

The third study revealed curiosity and excitement about The Social Capital Fundraising Model. Further studies are needed to test its application for fundraising activity. Alongside research on the model's application, further research is also necessary to examine how fundraising success is impacted by fundraiser assessment models and gaps in understanding of fundraising practice by those who manage fundraisers. With the proliferation of third-party, data-based donor management systems, the measurement of fundraising success has become entirely quantitative. Though fundraising units with strong engagement, large prospect donor lists, and alumni who have gone on to highly lucrative careers function well in these models, others do not, including the academic library. Requiring the same performance across units for the number of visits and solicited proposals per year is as unreasonable as requiring all units to raise the same amount of money. Such a requirement does not consider the nature of the alumni body for the different disciplines. For example, engineering graduates who go on to successful careers in technology and engineering are more likely to make major gifts than biology graduates who become university professors. A fundraiser for engineering will have a much easier time achieving an in-person visit with one of their alumni than a fundraiser in the school of science whose alumnus is now a lecturer still paying off student loans. Getting in front of potential donors is even more challenging for fundraisers without alumni like those in academic libraries. The quantitative measures used to evaluate fundraising success like dollars raised, solicitations and donor visits in a

given year make it even more difficult for a fundraiser in the academic libraries with fewer prospective donors than degree-granting units to be successful. In fact, it can be successful. Many academic libraries are evidence to that. But the fundraisers in this environment need to do their work differently from their colleagues.

The deans/directors in the study demonstrated a limited understanding of fundraising practice and university development models and structures. It would be meaningful to investigate information and library science curricula to determine how fundraising is positioned in leadership training in graduate programs. As deans/directors are expected to fundraise, leadership training programs should include evidence-based instruction for fundraising practice. Fundraising outcomes will also increase if university development programs invest in training opportunities for deans/directors. Unique training for those like academic library deans/directors whose units do not align with the traditional, alumni fundraising model are not only crucial to their success but would demonstrate that they are appreciated by university development for the unique value they bring to the fundraising mission of the institution.

Public libraries could also benefit from The Social Capital Fundraising Model. Further research on the application of this model in public libraries could bring great benefit to fundraising outcomes in those organization and inform the viability of the model for the nonprofit sector in general.

Applying The Social Capital Fundraising Model in Donor Engagement

Many of the interviews in this study required hypothetical scenarios to demonstrate how the model operates in donor engagement. One fundraiser and fellow academic library scholar, Kurt Cumiskey of Duke University, suggested that specific

examples would go far to bridge the concept of the model to application in fundraising practice. Therefore, the following examples describe the application of this model with the kind of donors who are typical for higher education fundraising. Each example represents a customized engagement using the fundamental elements of The Social Capital Fundraising Model:

- Female, 68 years old. Recently retired from a successful business in the financial sector. Donated \$3M to fund an archive in special collections to feature prominent alumnae. She is married but made the gift in her own name.
- Married couple, mid 70s. They met at the university, all their children are also alumni, and now their grandchildren are either already students or planning to apply in the future. With so many family members as alumni and current students, most of the colleges at the university are represented. The couple has decided that giving to the academic library is a way to honor all members of their family. They made a large gift to name the reading room in the academic library and create a family legacy at the institution.
- Middle-aged couple with high school-age children. Both parents are alumni, and they have high hopes that their children will attend the university. They made their first major gift of \$25,000 during an academic library renovation campaign. Their name is on one of the study rooms. Neither knows much about the academic library, but a special programs development officer met them for lunch and shared information about an academic library campaign. They agreed to a five-year pledge and attended the grand opening of the new academic library space.

The academic library in these examples, like so many others, has a single fundraiser. Luckily, this fundraiser is not entirely new to the academic library. She worked as a regional fundraiser for several years and often discussed cases for giving for the academic library on her visits thanks to a good relationship with the previous academic library fundraiser who provided her with materials and kept her up-to-date on giving opportunities. She interviewed for the job when the previous fundraiser moved into another position. She has been trained on the Social Capital Fundraiser Model through her central development training program and has customized it for each of the three donors described above.

Examples of Donor Engagement Strategies

These fictional examples illustrate some ways that social capital can be strategically integrated into the cultivation for giving with a potential donor. All examples are set within the context of the academic library; therefore, they are designed around the condition of a single fundraiser.

Example 1

The recently retired female executive is all business. She seems to be having a little trouble transitioning into retirement, so she has become very involved in the creation of the new archive in the academic library. So involved, in fact, that the dean is a little concerned that she has gone out on her own and recruited a committee of volunteers whom she has tasked with raising additional funds for the archive and investigating possible collections. Even though the archivists are raising concern about this group soliciting for gifts-in-kind without training on collection priorities or what constitutes meaningful items for a collection, the dean hesitates to stop her because of the impressive

group she has put together. With the dean's permission, the fundraiser immediately convenes a meeting with the dean and archivists. The outcome of the meeting is an agreed-upon set of collection priorities and protocol for submitting potential collections. With that in hand, the fundraiser requests a visit with the donor.

The strategy for the donor meeting considers some obvious factors related to social capital. The first is that the donor wants to help the academic library by using her leadership skills and social and professional network. The fundraiser thinks the donor could have a strong desire to create a program that represents a group that she feels has been underrepresented in the archives. She may also be inspired to provide a meaningful opportunity to her friends and colleagues who she feels also have strong professional skills and networks to share with the academic library. The fundraiser assumes that having come out of the financial sector, the donor will appreciate having a well-developed strategy and process for this project. The fundraiser will be very careful to position the collection priorities and protocol under this frame rather than make it seem like a scolding from the dean or an indication that the archivists are feeling threatened. Further, since the priorities and protocol are simple documents and those who created them are not experienced leading groups of corporate professionals, the fundraiser will request feedback from the donor. As a result, the meeting is a positive, collaborative discussion in which the donor commits her support for an organized and strategic process and makes meaningful additions to the plan. The fundraiser then offers to host planning meetings at the academic library or through the university's virtual meeting platforms as a way to not only participate and monitor the progress of her team but also get to know the other women on the committee.

Formalizing the committee makes the members feel that they are involved in an important project where their expertise and skills are valued. They have opportunities to engage with academic library leadership and grow their connection with the university they love. They also get to make an impact on the university's effort to engage and celebrate the contributions of women. The donor is celebrated as being the catalyst for the entire project through her initial gift. All enjoy widespread promotion and expanded engagement from university leadership and individuals and groups related to the advancement of women. In short order, the plan is in progress and most of the members have added the academic library to their giving to the university.

Example 2

The older married couple who began their family's giving tradition with the university through the named space in the academic library have been donors to the university for many years. They have never given to the academic library before, but they have been hosted in academic library spaces for events sponsored by some of the other units on campus that they support. They were made aware of an upcoming renovation campaign at one of these events when they reviewed architectural drawings of the new spaces displayed in the academic library. Due to their previous giving, they already have a relationship with university leadership and the vice president of development. Therefore, they reached out to the VP for information about the naming opportunities in the academic library. Not wanting to make the donors feel they were being passed off on someone else, the VP took the lead on the three-million-dollar solicitation for the naming of the academic library's grand reading room.

This scenario created a challenge for the academic library dean and fundraiser because they were not the primary solicitors and did not know the donors. They are also aware of some concern by central development and the fundraisers in the other units for which they give that the academic library could “steal” these donors away from them, now that their biggest gift to the university is with the academic library. The academic library project is getting a lot of attention, and a naming in a central university facility is very prestigious. Keeping this in mind, the fundraiser and dean develop a unique and inclusive social capital strategy.

Once they convince the VP that allowing the dean and fundraiser to engage with the donor is crucial to proper stewardship of the gift, they invite the other development officers who work with the donors to a strategy meeting. In the meeting they discuss ways to include the other development officers in donor engagement, demonstrating a cooperative, collegial development model and providing opportunities for the other development officers to build stronger bonds with the donors. The donor gets the benefit of a lot of attention and relief that they are not breaking rules by going outside their assigned colleges and initiatives (most high-level donors know about prospect management models). This collaboration also builds stronger social capital between development colleagues and the units they represent and elevates the reputation of the academic library as a legitimate fundraising unit.

By helping development colleagues maintain their relationship with the donors, the donors have a more robust engagement experience, and the threat the donors will discontinue their giving to the other units is allayed. In the end, even though the VP solicits the gift, the collaboration with the academic library dean and fundraiser results in

a shared gift credit for the fundraiser in the academic library. Since the gift to the reading room is the largest gift made to the university by the donors, they naturally want to engage more deeply, meet other academic library donors and enjoy the unique learning and access experiences that the academic library can offer. The gift also engages the rest of the family who attend events, and the current students are invited to join student advisory and event initiatives in the academic library laying the groundwork for a legacy of family engagement.

Example 3

A couple in the height of their professional careers with high-school aged children made a \$25,000 donation to the library because they see it as a central institutional gift to support all the academic programs at the university. In another degree-granting fundraising unit on campus, a \$25,000 gift may not result in strong stewardship engagement with a donor. This gift amount, for example, is the standard solicitation for a scholarship, which is one of the most common gifts to a university. For the academic library, however, which often has fewer donors to manage, there is plenty of opportunity to engage these donors in a meaningful way. Since this gift was in support of a comprehensive library renovation campaign, the couple are invited to the grand opening of the new space. They attend and meet the fundraiser and dean for the first time. Neither has a strong affinity for the academic library except for the man's pleasant memory of much-appreciated spaces for naps between classes. The couple has been too busy with their careers and a young family to get to campus or participate in alumni events, but with their children a few years away from high school graduation, they made the gift as a way to get involved again and get their children excited about following in their footsteps.

When they make that intent clear to the fundraiser and the dean, it becomes clear that some boundaries need to be established for their engagement. The dean and the fundraiser recognize that they need to be prepared to explain that giving to the university will not influence whether or not their children are admitted to the university in the future. Rather than dash their spirits by blurting it out right away, however, they decide to take the long route and educate them on organizational practices through their stewardship activities.

In a follow-up visit with the donors, the fundraiser discusses items she has collected from the academic library archives. They include archival items of their student activities while they were on campus. These delight the donors and provide good information about the kind of engagement they might enjoy. The fundraiser learns that while both alumni are professionals, the husband travels a great deal as a sales manager and the woman works from home as a corporate human resources consultant. The fundraiser identifies the woman, therefore, as a good candidate for the Dean's Advisory Council. Though they live two hours from campus, she is more likely to be able to make bi-annual meetings, and her expertise in human resources could make her a valuable advisor for the dean. Events connected with council meetings will provide meaningful experiences for the couple but not put stress on the husband to make meetings or prepare for discussions. This choice is also a strategic response to discussion during the visit in which the husband expresses concern that his wife is feeling less needed by their children who are both of driving age and highly involved with school and extra-curricular activities. A position on the board provides the woman with an opportunity to expand her network, provide a meaningful contribution to the academic library and get her

reconnected with her beloved institution. As an HR consultant, the fundraiser realizes that the likelihood is good that she is either already aware that their giving will not ensure their children gain admission to the university or will not be surprised to learn that this policy is in place.

This strategy results in the building of a very strong relationship with the couple. It also inspires them to familiarize themselves with the preparations their children should take for the best possible chance of gaining admission. By the time their 5-year pledge is paid off, both children are on campus, the husband has been introduced and cultivated to sit on the advisory council of his college and the woman has been appointed as the chair of the academic library council. In honor of their children, they sign a pledge for two student achievement awards in the academic library.

Final Thoughts

The academic library continues to face challenges to successful fundraising. Over the last 25 years, little has been done to rectify investment disparity between the library and academic units, and in the meantime, giving to the academic library has declined. However, as costs for scholarly resources that are vital to the mission of the library increase each year, private funding is more important than ever.

Interviews with university leaders, academic library deans/directors and fundraisers reveal that the three groups have different ideas about what it takes to successfully fundraise for the library. Deans/directors need to advocate for more support and meet the challenge to communicate the value of the library to potential donors and the institution. University development leaders should elevate the academic library to a

university initiative and leverage resources to disseminate compelling cases for giving to internal and external audiences.

Fundraisers in the academic library have learned to do more with the few donors they enjoy and build long-lasting, strong relationships with individuals who are committed to the library. They have also positioned the library as a giving opportunity that complements giving to the academic units. Therefore, the academic library is a meaningful environment to pursue The Social Capital Fundraising Model. With so many barriers in place for fundraising success, what do university development leaders have to lose by allowing the academic library to be its testing ground? The answer is existing, traditional assessment models. Assessment of fundraisers utilizing The Social Capital Fundraising Model should be measured with an assessment model that evaluates an approach that requires more time and energy with fewer donors to build strong, long-lasting relationships that encourage ongoing support.

The investment of opportunity could be transformative for the academic library and create a model of success for higher education fundraising. The impact of the donor experience for those cultivated and stewarded with The Social Capital Fundraising Model could go beyond happy donors to include fulfilled fundraisers helping to shift the current challenge to retain talent and build a culture of philanthropy across the institution.

Appendices

Appendix A

Chapter 2

IRB (Purdue University) Approval

To: HEYNS, ERLA PDILWORTH, KATHRYN F

From: DICLEMENTI, JEANNIE D, Chair Social Science IRB

Date: 11/02/2017

Committee Action: (2)

Determined Exempt, Category (2)

IRB Action Date: 11 / 02 / 2017

IRB Protocol #: 1710019848

Study Title: Fundraising Practices in Academic Libraries

The Institutional Review Board (IRB) has reviewed the above-referenced study application and has determined that it meets the criteria for exemption under 45 CFR 46.101(b).

Before making changes to the study procedures, please submit an Amendment to ensure that the regulatory status of the study has not changed. Changes in key research personnel should also be submitted to the IRB through an amendment.

General • To recruit from Purdue University classrooms, the instructor and all others associated with conduct of the course (e.g., teaching assistants) must not be present during announcement of the research opportunity or any recruitment activity. This may be accomplished by announcing, in advance, that class will either start later than usual or

end earlier than usual so this activity may occur. It should be emphasized that attendance at the announcement and recruitment are voluntary and the student's attendance and enrollment decision will not be shared with those administering the course. • If students earn extra credit towards their course grade through participation in a research project conducted by someone other than the course instructor(s), such as in the example above, the student's participation should only be shared with the course instructor(s) at the end of the semester. Additionally, instructors who allow extra credit to be earned through participation in research must also provide an opportunity for students to earn comparable extra credit through a non-research activity requiring an amount of time and effort comparable to the research option. • When conducting human subjects research at a non-Purdue college/university, investigators are urged to contact that institution's IRB to determine requirements for conducting research at that institution. • When human subjects research will be conducted in schools or places of business, investigators must obtain written permission from an appropriate authority within the organization. If the written permission was not submitted with the study application at the time of IRB review (e.g., the school would not issue the letter without proof of IRB approval, etc.), the investigator must submit the written permission to the IRB prior to engaging in the research activities (e.g., recruitment, study procedures, etc.). Submit this documentation as an FYI through Coeus. This is an institutional requirement.

Categories 2 and 3 • Surveys and questionnaires should indicate ° only participants 18 years of age and over are eligible to participate in the research; and ° that participation is voluntary; and ° that any questions may be skipped; and ° include the investigator's name and contact information. • Investigators should explain to participants

the amount of time required to participate. Additionally, they should explain to participants how confidentiality will be maintained or if it will not be maintained. • When conducting focus group research, investigators cannot guarantee that all participants in the focus group will maintain the confidentiality of other group participants. The investigator should make participants aware of this potential for breach of confidentiality.

Category 6 • Surveys and data collection instruments should note that participation is voluntary. • Surveys and data collection instruments should note that participants may skip any questions. • When taste testing foods which are highly allergenic (e.g., peanuts, milk, etc.) investigators should disclose the possibility of a reaction to potential subjects.

You are required to retain a copy of this letter for your records. We appreciate your commitment towards ensuring the ethical conduct of human subject research and wish you luck with your study.

Appendix B

Chapter 2

Email message for participant solicitation

Dear Library Development Colleagues,

How long have we wished for a comprehensive data set that gives us a snapshot of development frameworks, strategies and outcomes across academic libraries? My colleague, Erla Heyns, PhD, and I have set out to do just that, and we are asking for your assistance.

A continuation of Dr. Heyns' doctoral dissertation twenty-five years ago, the questionnaire attached asks the same questions regarding development in academic libraries to the same professional group as her original study: academic library leaders and development officers working in the academic library. Results from the questionnaire will be analyzed, and a paper on the evolution of fundraising in academic libraries will be submitted to academic journals for publication. This same data will be further analyzed for my doctoral dissertation to determine factors that strongly impact success in fundraising in this environment. A qualitative phase will evolve from the initial analysis with the expectation of a publication that offers a framework with supporting case studies for best practices for fundraising in this unique academic environment.

Follow-up email to encourage participation in study:

Dear Library Development Colleagues<

We hope you will consider participating in this questionnaire. Research and scholarship on the topic of academic library development will benefit us all. Please feel free to reach out with any questions about this study. We look forward to hearing from

you, receiving your valuable information and working with you to grow knowledge in this very important area of research.

Sincerely,

Kathryn Dilworth, Chief Development Officer, Purdue University Libraries

Erla Heyns, Head, Humanities, Social Sciences, Education and Business

Division, Purdue University Libraries

Appendix C

Chapter 2

Survey Questions

Fundraising Survey for Development Officers

1. Is your institution of higher education public or private?
2. How many years has the incumbent library dean/director been in place?
3. Has the library participated in a library fundraising program in the past two years?
4. Does the library currently have an ongoing and established fundraising program?
5. What is the stated purpose of the library fundraising program? (select all that apply)
 - a. General purpose
 - b. Building construction or renovation
 - c. Funds for library materials only
 - d. Funds for additional library staff only
 - e. Funds for library equipment and furniture only
 - f. Other
6. How many library or fundraising professionals (FTEs) are paid to work on fundraising for your library? Include persons housed either in the library or elsewhere.
 - a. FTEs from library budget
 - b. FTEs from university or foundation budget
7. What is the organizational structure of fundraising for the library?
 - a. Centralized

- b. Decentralized
 - c. Shared
 - d. Other
- 8. Has the university designated a person for library fundraising?
- 9. Does the library have its own development officer?
- 10. How many years of experience in fundraising does the library development officer have?
- 11. Using approximate percentages, what is the breakdown of the distribution of philanthropic income across the following areas within your library?
 - a. General support
 - b. Archives and special collections
 - c. Resources and technology
 - d. Student support
 - e. Faculty support
 - f. Facilities
- 12. What is your annual fundraising budget?
- 13. What is the biggest expense/allocation in your fundraising budget?
- 14. Has the library development staff had fundraising training specific for the academic library? (if so there are options to select)
 - a. Library-related association or organization training
 - b. Fundraising association training
 - c. Library conference presentations or workshops
 - d. Fundraising conference presentation or workshops

- e. Training provided by your own university or foundation
15. How actively does the president, provost or chancellor of the university support the library fundraising efforts?
16. In what ways has the president, provost, or chancellor demonstrated support for the library?
- a. Promoted the library's fundraising needs in writing
 - b. Mandated that the library be included in all fundraising for the institution
 - c. Other
17. How active is the library dean/directly involved in library fundraising efforts?
18. In what ways has the library dean/director been involved in fundraising for the library?
- a. Makes fundraising solicitations
 - b. Communicates library needs to the campus community
 - c. Other
19. Does the library dean/director believe that fundraising is important for the library?
20. Does the library have a library development committee (a committee internal to the university including faculty and/or staff)?
21. What activities does the development committee engage in?
- a. Promote library goals
 - b. Raise money
 - c. Advice library dean/director
22. Does the library have an advisory council?

23. What activities does the advisory council engage in?
- a. Promote library goals
 - b. Raise money
 - c. Volunteer
 - d. Advise the library dean/director
24. Do you require a minimum annual donation for membership on the advisory council?
25. Does the library currently have a “Friends” group?
26. Did your library have a “Friends” group in the past?
27. Why was the “Friends” group dismantled?
28. How active if the “Friends” group?
29. What kind of activities doe the “Friends” group engage in?
- a. Promote library goals
 - b. Raise money
 - c. Volunteer
 - d. Advise library dean/director
30. Does your library have a regional or national spokesperson such as an athletic coach or local celebrity?
31. Has the library ever used paid consultants in fundraising?
32. How effective is each of the following oat working on behalf of the library’s fundraising efforts? (rating scale)
- a. President/provost/chancellor
 - b. Library dean/director

- c. Celebrity
- d. Development officer
- e. Central development office
- f. Library development committee
- g. Friends of the library
- h. Alumni
- i. Non-alumni friends
- j. Parents
- k. Faculty and staff
- l. Students
- m. Other

33. Does the library use a case statement when soliciting gifts?

34. Does the library have a written fundraising plan?

35. Does the library have a written annual fundraising plan with projected goals?

36. Does the library have a written fundraising goal projected for several years?

37. Is the library expected to ask for authorization to make direct fundraising appeals to ALL alumni?

38. Please describe the nature of the library's access to alumni records for fundraising purposes:

- a. No access
- b. Access to non-donors for some departments
- c. Access to non-donors for all departments
- d. Access with special permission

e. Other

39. How many donors contributed to the library during the following fiscal years?

a. 2015/16

b. 2016-17

40. How important are the following sources in providing funds to support the library? (rating scale)

a. Alumni

b. Non-alumni friends

c. Faculty and staff

d. Parents

e. Business and industry

f. Private foundations

g. Clubs and organizations

h. Other

41. How important are the following forms of private giving? (rating scale)

a. Major gift programs

b. Annual fund

c. Capital campaign

d. Planned gifts

e. Other

42. Does the library have a formal public relations program in conjunction with its fundraising program?

43. Does the library have a donor recognition program?

44. What was the enrollment at your university in spring 2017?
- a. Undergraduate
 - b. Graduate
45. What was the total annual library operating budget for the following fiscal years?
46. What is the total size of the library staff in FTEs?
47. What is the total amount of money raised by university development in each of the last two fiscal years?
48. What is the total amount of money held in the library endowment for the past two fiscal years?
49. Please estimate the amount of library endowment income was used for the library's operating expenditures in the past two fiscal years.
50. List the amounts received by the library in the last two fiscal years from the following sources:
- a. Government grants
 - b. Foundation grants
 - c. Other grants
 - d. Institutional overhead from grants and contracts to other departments
 - e. Corporate gifts
 - f. Gifts from individuals
 - g. Friends of the library
 - h. Other
51. Request for personal information – name and institution

Appendix D

Chapter 2

Ethical Principles

Respect for persons & their autonomy Right to choose whether to participate (informed consent). Participants will self-select to take part in the study by submitting a questionnaire through the *Qualtrics* tool.

Beneficence (do good) & nonmaleficence (do no harm) Risk-benefit analysis.
Risk 1: revealing financial data of their institution Justification: By reporting fundraising outcomes, representative data across academic libraries will be created offering the opportunity to analyze and determine best practices which will benefit all.

Safeguards to minimized risk. The research team will communicate the benefits of the knowledge obtained through the experiment to the academic library and those served through by the library.

Justice Fair spread of benefits & burdens. All participants are given the freedom of choice to participate in this opportunity. It is offered in a private setting without anyone present to observe or coerce.

Trust Participant should be able to trust the researcher Participants will be given a full explanation of the content and rationale for the study. Privacy and confidentiality
Anonymity is an option in this survey. For phase 1, cleaned data sets will be de-identified by numeric codes to ensure confidentiality of participants' responses. Files will be stored safely and backed up using password-protected secure file servers. Only experimenters and the research team will have access to the data. No data will be shared without the

explicit consent of experiment participants. Data will be kept only as long as it is relevant for the research project or future, related projects.

Fidelity & scientific integrity Remain “true” to your data. Data will be verified independently by each member of the experiment team to ensure accuracy. Members of the research team will utilize standardized, consistent procedures to collect, process, transcribe, check, validate and verify data, such as standard protocols, templates or input forms to ensure accuracy. Data will be identified in a standard manner in alignment with variable names, abbreviations, and codes commonly used. Accept results and report honestly no matter they are as expected or not. Avoid conflict of interest Members of the research team are primarily concerned with the safety of participants, approach the experiment with a hypothesis but will accept and report results that may contradict their hypothesis, and will not use the process or results of the experiment for personal, monetary gain.

Appendix E

Chapter 4

Kathryn F. Dilworth

IRB – Protocol Exempt Verification

Tuesday, August 6, 2019

Protocol 1907003750 Exempt

The IRB protocol number 1907003750, Principal Investigator Burlingame, Dwight F has had the action "Protocol Exempt" performed on it.

The action was executed by Mills, Adam Michael. Additional information and further actions can be accessed through the Kuali Coeus system.

Appendix F

Chapter 4

Email message for participant solicitation

Dear (Name),

I am a doctoral student in the Lilly Family School of Philanthropy, and my research is in academic libraries. I am writing to ask if you are willing to answer some questions about your experience supporting fundraising in an academic library. Most of my study group consists of development officers working in the academic library, but I am also including a small group of academic library deans/directors and higher education development leaders. In order to avoid confusion and mitigate risk of harm, I am not interviewing any individuals from the same institution who supervise or report to each other.

The current study is the final section of my dissertation for my PhD in Philanthropy from the Lilly Family School of Philanthropy. The first section is a paper with Dr. Erla Heyns from Purdue University Libraries that consists of a widespread redistribution of a survey she used in her 1994 dissertation to compare a wide variety of conditions for the fundraiser in an academic library. The second is a chapter in an upcoming academic library book where I make the case that fundraising builds the social capital of the academic library (*Social Future of Academic Libraries: New Perspectives on Communities, Networks, and Engagement* (Slack, T, P. Bracke & S Corrall eds 2019), Facet Publishing.) This third section is interviews that respond to a new fundraising model I have developed based on social capital as a benefit of fundraising.

My interview questions have been approved through Indiana University's IRB office. It consists of two sections of open-ended questions, and it runs between 30 minutes and an hour. I will record our interview, and you have the option to be anonymous.

It would be valuable to have feedback from you to contextualize the data I have collected from the fundraisers. Thank you for your consideration.

Kathryn

Appendix G

Chapter 4

Ethical Principles

- **Respect for persons & their autonomy** Right to choose whether to participate (informed consent). Participants made the decision about whether to participate in the interview. Participants are given an option to participate anonymously.
- **Beneficence (do good) & nonmaleficence (do no harm)**
 - Risk-benefit analysis. Risk 1: revealing fundraising practice models and outcomes of their institution Justification: Thought not asked for information of monetary fundraising outcomes, interviewees are asked to judge their success or failure. The representative data collected has relevance across higher education offering the opportunity to develop a fundraising model that benefits all fundraisers. Safeguards to minimized risk. Though study participants are listed in the appendix, individuals are not aligned with findings in the narrative.
 - Risk-benefit analysis. Risk 2: revealing data that has potential to negatively impact the experience and safety of job Justification: Individual experience is crucial to the value of the study. Safeguards to minimized risk. The researcher communicated the benefits of the knowledge obtained through the experiment to academic libraries and those served.
- **Justice** Fair spread of benefits & burdens. All participants were given the freedom of choice to participate in this opportunity. Interviewees consented to participate in the interview on telephone and to have it recorded. Interviews took

part with the researcher in a private setting where they could not be overheard.

Recordings, notes, and interview templates were stored in a protective Box platform provided by IU.

- **Trust** Participant should be able to trust the researcher Participants were given a full explanation of the content and rationale for the study. Privacy and confidentiality Anonymity was an option in this study. Files of the interview recording, and notes were stored safely and backed up using password-protected secure file servers. Only the researcher has access to the data. No data will be shared without the explicit consent of experiment participants. Data will be kept only if it is relevant for the research project or future, related projects.
- **Fidelity & scientific integrity** Remain “true” to your data. Data was analyzed by the researcher with oversight by her dissertation committee. The researcher utilized standardized, consistent procedures to collect, process, transcribe, check, validate and verify data, such as standard protocols, templates, or input forms to ensure accuracy. Data as identified in a standard manner in alignment with variable names, abbreviations, and codes commonly used. Accept results and report honestly no matter they are as expected or not. Avoid conflict of interest The researcher is primarily concerned with the safety of participants. Though the study begins with a hypothesis that data collected will align with previous findings that fundraising in academic libraries has added challenges, any information collected that challenges that hypothesis will be included in the findings.

Appendix H

Chapter 4

Interview Template

The Role of Social Capital in Fundraising in the Academic Library

Interviews with Members of DORAL

Summer 2019 – Spring 2020

Kathryn Dilworth, Interviewer/PI

Consent:

- I am going to ask you to provide your name, title and institution for this study.
You may choose to be anonymous.
- I will take notes and record this interview. These files will be stored in a secure, dual access file kept on the Indiana University server.
- You can choose at any point preceding submission for publication to have the information you provide removed from the study

1. Open questions about fundraising and models

- a. Please describe what you believe is the greatest challenge to fundraising in the academic library. (If they respond that it is the alumni model then skip to c.

Interviewee Name	
Title	
Institution	
Email	
Phone	
Date of interview	
Time/PT	
Years as an Academic library fundraiser	

- b. Higher education fundraising predominantly utilizes an alumni model where graduates and faculty from a particular college or department are

cultivated to support cases for giving in that area. In what ways does this model challenge the success of fundraising in the academic library?

c. How has this challenge impacted library fundraising outcomes?

d. How has this challenge made is difficult for the library to recruit and retain competent fundraising staff?

e. How has this challenge affected the libraries' ability to collaborate with academic units on fundraising initiatives?

- f. How has this challenge affected the libraries reputation/relationship on campus? With Central Development? With potential donors?

- g. Please give some examples of how you navigate this prevalent model in fundraising for the academic library

2. *Definition of Social Capital for purposes of this study –*

Social capital is the social network that emerges through bridges and bonds made between individuals. Social capital is also the goodwill that comes from those connections.

- a. Do you have any questions or feedback about this definition?

b. Do you have an alternative definition?

3. Definition of the Social Capital Fundraising Model

The Social Capital Fundraising Model, which I have developed, is a fundraising model in which the building of social capital is a strategic goal grounding the fundraising process from identification to stewardship. The rationale is that through building the donors' social capital through their giving that they will not only continue to give but give more. This phenomenon is demonstrated in robust research in philanthropy research.

Questions about what interviewees think about the Social Capital Fundraising Model

a. Describe ways that you as a development officer consciously or unconsciously develop social networks for donors and prospective donors in the fundraising process.

b. Discuss some of the social benefits that you/the library provide donors.

c. Is a contribution to social networks and benefits from that network part of the fundraising strategy for your academic library? If so, please describe.

d. If I could provide you evidence that building social capital between the library, itself, and donors, also builds the social capital of the library, (therefore providing them with benefits including heightened reputation and perceived value) would you consider

adopting or integrating facets of the social capital fundraising model? If so, how might you do that?

e. Describe some benefits you would see coming from an expansion of social capital for the academic library.

f. How do you think that development colleagues and leadership in libraries/development would respond to the adaptation or integration of The Social Capital Fundraising Model into the fundraising plan for the library?

Appendix I

Chapter 4

List of study participants

Kristin Antelman, University of California, Santa Barbara

Tony Arellanes-Miller, University of California, Davis

Cecilia Botero, University of Mississippi

Keith Brian, University of Florida

Hope Carter, Millsaps College

Kurt Cumiskey, Duke University

Mike Drake, University of Michigan

Leia Droll, North Carolina State University

Chantel Dunham, University of Georgia

Tom Hadzor, Duke University

Adelle Hedleston, Texas A&M University

Natalie Hester, University of Texas

Erin, Horeni-Ogle, Emory University

Stephanie Kimura, University of California, Los Angeles

Kaija Langley, Massachusetts Institute of Technology

Lynette Marshall, University of Iowa

Beth McNeil, Purdue University

Betsy Merrill,, Johns Hopkins University

Robin Mitchell, University of Virginia

Jennifer Mullman, Northwestern University

Dan Peterson, University of Washington

Rhonda Phillips, Purdue University

Bob Pierce, University of Alabama

Darcy Pinkerton, Brown University

Adriana Popescu, California Polytechnic State University at San Luis Obispo

Mary Rettig, University of Iowa

Peter Rhoda, Indiana University

Joseph A. Salem, Michigan State University

Jennifer Sawyer, Cornell University

Julie Snyder, The Ohio State University

Rush Sutton, University of Pennsylvania

Eliza White, Smithsonian

Appendix J

Permissions

Chapter 2

Chapter 2 includes a pre-print of the manuscript accepted for publication in The Journal of Academic Librarianship. It is included in its revised version by permission of Elsevier for inclusion in a doctoral dissertation. The Abstract, which is not reprinted in Chapter 2, is added below. Though this text will receive final editing before publication in the journal, the revised pre-print below is allowed for inclusion in this publication.

Fundraising in Academic Libraries: Looking back and Defining new Questions

Abstract

This is the first study since the 1990s that solicits information about fundraising activity from a broad representation of academic libraries in the United States. Survey questions were adapted from previous studies to identify how this practice has evolved over the last twenty-five years. Results provide insight into prevalent conditions including the investment made in fundraising, common giving opportunities, the level of involvement of academic partners and leaders and the most common constituency groups who give and volunteer. This high-level view of fundraising activity in academic libraries establishes a foundation that can guide further research on this topic and points to an urgent need to revise academic library fundraising strategies and investment.

Chapter 3

Chapter 3 includes a preprint of a chapter accepted for publication by Facet Publishing. This extract has been taken from the author's original manuscript and has not been edited. The definitive version of this piece may be found in The Social Future of

Academic Libraries: New Perspectives on Communities, Networks, and Engagement
(Slack, T, P., Bracke, P., & Corral, S., eds., 2019), Facet Publishing, which can be
purchased from 222.facetpublishing.co.uk. The author has agreed not to update the
preprint or replace it with the published version of the chapter.

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Curriculum Vitae

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Education

- Doctor of Philosophy (April 2021), Philanthropic Studies, Lilly Family School of Philanthropy, Indiana University degree earned at Indiana University-Purdue University Indianapolis, Indianapolis, Indiana.
- Master of Arts (1995), English, University of Alabama in Huntsville, Huntsville, Alabama.
- Bachelor of Arts (1992), English, University of Mississippi, University, Mississippi.

Fellowships

- Dwight and Audrey Burlingame Doctoral Fellowship (2019), Lilly Family School of Philanthropy.

Publications

- Dilworth, K. (Accepted with Revision). Philanthropy in Public Libraries: Its impact on Community Well-being Missions. *International Journal of Community Well-Being*.
- Dilworth, K. (In Press). "Building the social capital of the academic library through fundraising." T. Schlak, P. Bracke, S. Corral. (Eds), *The Social Future of Libraries*.
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Presentations

- *Reputation & Success with Social Capital*. Presented at Computers in Libraries and Internet Librarian Connect 2020, Virtual Conference, September 2020.
- *Community Engagement*. Moderator at Internet Librarian Conference, Monterrey CA, October 2019.
- *How focusing on Social Capital can expand engagement and impact Alumni Relations*. Presented at Cal Poly Alumni Leadership Retreat, San Luis Obispo, CA, August 2019.
- *Volunteerism in Academic Libraries: Advisory Councils and Friends Groups*. Presented at Directors of Research Academic Libraries (DORAL), Santa Barbara CA, June 2017.
- *Growing Philanthropic Dollars for Libraries*. Presented at Computers in Libraries, Arlington VA, March 2017.
- *Workshop: Fundraising for Academic Libraries*. Lead at Computers in Libraries, Arlington VA, March 2017.
- *A Collaborative Approach to Addressing Health Information Literacy among High School Students*. Presented at the Indiana Library Federation Conference, Indianapolis IN, November 2016.

- *Fundraising for the Wilmeth Active Learning Center at Purdue University.*

Presented at Academic Library and Development Network (ALADN), Boston
MA, April 2016.